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MANAGEMENT OF RECORDS

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This manual implements Department of Defense (DoD) Directive (DoDD) 5015.2, *DoD Records Management Program*, and Air Force Policy Directive (AFPD) 33-3, *Information Management*. It establishes the requirement to use the Air Force Records Information Management System (AFRIMS); establishes guidelines for managing all records (regardless of media); and defines methods and the format for record storage, file procedures, converting paper records to other media or vice versa, and outlines the minimum to comply with records management legal and policy requirements. This publication applies to all Air Force military, civilians, and contractor personnel under contract by the DoD who create records in their area of responsibility (AOR), including the Air Force Reserve Command units and its members, civilians and contractors, the Air National Guard and Air Force components assigned to the combatant commands that are not directly responsive to the Combatant Commanders; and to contractors by contract or other legally binding action, wherever an Air Force contract provides for the operation of a system of records or portion of a system of records to accomplish an Air Force function. Information in this manual is directed by Air Force Instruction (AFI) 33-364, *Records Disposition--Procedures and Responsibilities*, and may result in updates to other Air Force Instructions. **Chapter 6** contains standardized processes for handling records in the during major deployments and fulfills the Air Force responses to the Audit on Global War on Terrorism, Project F2003-FB1000-0858.000 and

Audit on Shared Network Storage Management, Project F2005-FB4000-0070.000 conducted by the Air Force Audit Agency. Send recommended changes or comments to Headquarters Air Force Communications Agency (HQ AFCA/EASD), 203 W. Losey St, Room 1100, Scott AFB IL 62225-5222, through appropriate channels, using Air Force (AF) Form 847, *Recommendation for Change of Publication*, with an information copy or record copy to Secretary of the Air Force, Air Force Records Office (SAF/XCPPA), 1401 North Wilson Blvd, Suite 601, Arlington, VA 22209. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with this manual, and are disposed of in accordance with the AFRIMS Records Disposition Schedule (RDS) located at **https://afrims.amc.af.mil/rds_series.cfm**. The use of the name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by the Air Force. **Attachment 1** contains a glossary of references and supporting information.

(482FW) This publication supplements and extends the guidance of Air Force Manual (AFMAN) 33-363, *Management of Records.* This supplement explains and gives specific guidance for Government contractors who create, manage or oversees Air Force electronic or physical records. It applies to all assigned, attached or associate units to the 482d Fighter Wing (482 FW), Homestead Air Reserve Base (HARB), Florida. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using Air Force (AF) Form 847, *Recommendation for Change of Publication;* route AF Form 847 from the field through the appropriate functional's chain of command. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) AFMAN 33-363, *Management of Records*, and disposed of IAW the Air Force Records Disposition Schedule (RDS) located at **https://www.my.af.mil/gcss-af61a/afrims/afrims/rims.cfm**.

SUMMARY OF CHANGES

This document is substantially revised and must be completely reviewed. It establishes new requirements; directs use of the Electronic Records Management (ERM) Solution Guide, updates, clarifies, and streamlines previous guidance and requirements; and provides new terminology and definitions.

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Chapter 1

OBJECTIVES AND RESPONSIBILITIES

1.1. Record Management Basics. Records are created by military, civilian, and contractor Air Force employees. Record types include ***Draft records***--those that can be altered and have not been signed or officially released; and ***Final records***--those that have been signed, officially released and cannot be altered. Air Force employees have three basic obligations regarding records: (1) Create records needed to do the business of the agency, reflect record decisions and actions taken, and/or document activities for which they are responsible; (2) manage records by setting up directories and files, and filing materials (in any format) regularly and carefully in a manner that allows safe storage and efficient retrieval when necessary; and (3) ensure records are maintained in accordance with this manual, and disposed of in accordance with the AFRIMS RDS (located at **https://afrims.amc.af.mil/rds_series.cfm**) and related Federal regulations and legal requirements. This manual outlines the principles of applying electronic records (e-records) management (ERM) by using existing resources and prepares your organization for transition to an Enterprise Information Management (EIM) tool suite; provides standards for preserving, protecting and disposing of Air Force records in/on electronic media or any other media and incorporating those standards into each life cycle phase of the record. Records are media neutral and include all information that can document business performance or transactions; was made or received in the performance of duties; and could affect or impact a process, program, decision, etc.

1.2. Duties and Responsibilities. Refer to AFI 33-322, *Records Management Program*.

1.3. Record Maintenance Technologies. Records are the information that we preserve and manage. Technology has revolutionized the flow of communication and significantly contributed to the challenges of managing records in media other than paper. Various automated systems already store information as records. Conversion of paper documents to electronic format such as microform, optical disk, video disk, compact disk (CD), digital versatile disk (DVD), as well as scanning documents to a portable document format (PDF) are acceptable. Electronic records are the media of choice for use, storage and maintenance. Create new paper records after receiving approval by the Air Force Record Officer (AFRO). Requests must include justification compliant with the exemptions specified in the Government Paperwork Reduction Act, Government Paperwork Elimination Act (GPEA), E-Government Initiatives; and DoD and Air Force Net-Centric Strategies. Existing paper records may be destroyed after scanning to an approved format and validating content, or imputing information in an electronic record keeping system (ERKS). A concerted effort should be made to reduce paper storage across the Enterprise. **Chapter 2 and Chapter 6** provide guidance on using AFRIMS to manage all records, and the structure of records to transition to the Air Force EIM Solution.

Chapter 2

AIR FORCE RECORDS INFORMATION MANAGEMENT SYSTEM (AFRIMS)

2.1. Air Force Records Information Management System (AFRIMS). AFRIMS is the mandatory, unclassified, web-based tool suite, Government-Owned Technology Software designed to enhance and standardize Air Force records management and procedures. The RDS, maintained in AFRIMS, is the authoritative source for record dispositions. **To ensure legal compliance and data integrity, the RDS will not be supplemented, duplicated, or exported from AFRIMS.** Records professionals use AFRIMS to prepare file plans and associated record products; track training, staff assistance visits (SAV), and staging area data. Air Force personnel (military, civilian, and contractor), personnel at .gov addresses, and the public may view the RDS via the Non-Secure Internet Protocol Router Network/Internet at **https://afrims.amc.af.mil/rds_series.cfm**; via the Air Force Portal under "Application A-Z Listing"); via the Air Force e-Publishing website; and on the Air Force Link at **http://www.af.mil/**. Viewing the RDS requires no password or user identification and no additional hardware or software to be installed.

2.1.1. AFRIMS Accounts. User accounts are created using the Air Force Portal identification (ID) as the user's AFRIMS ID. Record Custodians (RC) accounts are created by the Functional Area Records Manager (FARM). FARM accounts are created by the local Base Records Manager (BRM). Accounts for record professionals in tenant units are created by the host BRM with oversight by the unit major command (MAJCOM), field operating agency (FOA), or direct reporting unit (DRU) Records Manager (RM). Deployed record professional accounts are established through the BRM or AFRIMS help desk DSN 779-6771. MAJCOM, FOA, and DRU accounts are created by the AFRO. This hierarchical schema enables oversight of AFRIMS data across the Air Force.

2.1.2. Security. File plan titles will not contain sensitive, classified, For Official Use Only (FOUO), or *Privacy Act* information. File plans replicated on shared drives and in the EIM solution containing folder with sensitive or classified (on approved network media SECRET Internet Protocol Router Network (SIPRNET) according DOD 5200.1-R) information/records **must** include the highest marking in the folder title. Restrict access to users with authority (to include clearance) and a need to view. Primary folder titles align with the file plan title; sub-folders are unnumbered to allow project naming and alphabetical sorting by the action officers and are not reflected on the file plan. Sub-folders will contain only the record types described in the table and rule of the primary folder. Segregation of records by disposition is required by the National Archives and Records Administration (NARA).

2.1.3. Description. AFRIMS automates records management functions and provides abbreviated, on-line, up-to-date access to the RDS. Additionally, AFRIMS streamlines file plan development, update and approval; creates disposition control and folder labels, tracks SAVs and record professional appointments, contact information and training; orchestrates the freezing/unfreezing of records; facilitates staging area management; and streamlines record transfer and staging. The AFRO is the AFRIMS program manager and update authority.

2.2. Air Force Records Information Management System (AFRIMS) File Procedures. Use the "location" field of the file plan to show where documents are filed. Subdivisions (project folders) are not required to be added in AFRIMS. Contact the organization's Record Professional (RP) for additional guidance.

2.2.1. Files Maintenance and Disposition Plan. Upon completion or update of the file information into AFRIMS, the system notifies the file plan approval point via electronic mail (E-mail) that the file plan is ready for review. File plans must be coordinated through the Chief of the Office of Record (COR), FARM and BRM in turn. FARMS that have approval authority must ensure that the BRM has access to view the file plans. The approver reviews and approves or offers suggestions for changes. The file plan is considered official after it has been accepted, and signed by COR. The file plan coordination and approval process can be performed electronically through the transmission of the file plan via digitally signed E-mails among the RC, FARM, COR, and the BRM.

2.2.1.1. File Plan Review. Record custodians will conduct a systematic review of file plans (weekly at a minimum) is required. RDS restructuring changes cause file plans to become unapproved. When a file plan is disapproved as a result of format changes, file plan approval process can be expedited by advising your approval point of contact that the disapproval was a result of format changes in the RDS, not changes in the unit's record collections. Include a report from AFRIMS of the rule changes. You are not required to update for personnel changes.

2.2.2. File Disposition Control Label for Non-Electronic Media. AFRIMS generates file disposition control labels. Use one disposition authority (table and rule) per record series or entry on the file plan.

2.2.3. Folder Labels for Non-Electronic Media. AFRIMS allows printing of folder labels for file plan items, each office or all offices of record, or specific tables and rules. Manually mark folders containing classified records with the highest classification of the contents. Use folders for each record series listed on the file plan and maintained in file cabinets. Records maintained outside the file cabinets, in binders, card file boxes or posted on the wall do not need a folder. Place the disposition control label on the guide cards or containers of physical media.

2.2.4. Filing Classified Records. Follow the procedures in paragraph 4.3.

2.3. File Cut-off Procedures. Cut-off files as indicated in paragraph 4.4. Destroy, transfer, or retire eligible records according to the latest cut-off instructions on the AFRIMS disposition control label.

2.4. Electronic and Other Non-Paper Records and Record Objects. Indicate location and medium of both electronic and physical files on the file plan.

2.4.1. E-Records Creation. Current technology allows administrative, technical, and professional personnel to create, store, share and revise the documents more easily than in the traditional paper-based office operation. It is essential to note that draft records can be altered and final records cannot be altered.

2.4.2. All information created in or received while carrying out the Air Force missions is categorized as a record. How long the record is needed to facilitate the work and the degree to which it must be controlled is an attribute of its value to the mission or the agency, legal requirements, and its uniqueness. Some products of traditional office work created on a microcomputer (e.g., letters, memorandums, reports, etc.) may have no value after the product is filed and other records such as the master files for the Air Force Document Storage and Retrieval System, Action Tracking System, Comptroller Automated Budget System, or International Negotiation System are most valuable as computer files and should be converted to physical media only by exception such as the response to a data call that cannot be completed using computer files.

2.4.3. Electronic Record Keeping (ERK) Concept. Electronic technology has greatly increased the methods of creating, editing, maintaining, transmitting, and retrieving Air Force records. During the information life cycle (creation through disposition) record value often extends beyond the traditional paper form to comprise a variety of media. The ERK concept requires a system that accepts, preserves, and makes accessible—into the future—any type of electronic document. Moreover, it must ensure access regardless of hardware and software used to create the document. This concept requires a climate of urgency, since there are an unprecedented number of e-records being created daily and preservation time and need to view/access may change many times prior to life cycle completion.

2.4.3.1. Record Retention Media. To better facilitate the use of storage area networks (SAN), in-active e-records may be transferred to off-site storage (platters, disks, CDs, etc.) until ready for disposal or accession to National Archives and Records Administration (NARA). Laptops and thumb drives are NOT approved for long-term record storage. Records created on laptops and or thumb drives must be transferred to SAN or EIM storage as soon as possible. Deployed personnel will follow procedures established at the location or as directed by the USCENTAF Records Management Program Office. Record storage is based on the available storage media, need and frequency information is retrieved, formats commonly used to display the content to give the most value to users, and any restrictions associated with corresponding retention rules in the RDS. Relative costs of storage and preservation, convenience of use and ease with which hard-copy documents can be regenerated from the machine-readable files may also impact the medium of choice used for archival purposes when information exists in multiple formats. After conversion from non-electronic to electronic media, original paper records may be destroyed.

2.4.3.2. Transition to Electronic Records Management (ERM). The contents of the computer’s directory or the sum of all electronic folders may be equated to the traditional file drawer. Each computer data subdirectory or electronic folder is equivalent to a paper file folder. Files in directories or folders are equivalent to individual documents in the physical folders. Directory or folder names are equivalent to file folder labels to identify the broad functional category of the information contained in them. Primary folder names contain filing instructions. Labeling, naming, and filing conventions for e-records should be simple. Promotion of an effective electronic filing system will be enhanced by like documents in the same place (on the same labeled diskette or in the same directory on a hard drive) to avoid the necessity of rummaging through a drawer full of diskettes or searching through multiple directories on hard drives to find needed documents.

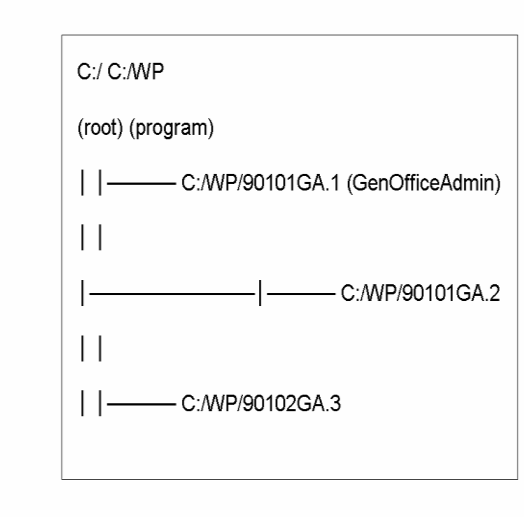
2.4.3.3. Labeling Electronic Records (E-Records) or File Naming Conventions. Labels are essential to the accessibility of electronic media. Each document in electronic form must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out its disposition. Labeling e-records is accomplished at two levels: external and internal.

2.4.3.3.1. External or Physical Labeling. External labeling includes physically placing labels on e-record containers such as diskettes, disk jackets and magnetic tape containers, as well as on the individual diskettes and tapes. Place the disposition control label on the guide cards or on containers for compact disk read-only memory (CD-ROM), diskettes, cassettes, tapes, or other electronic media.

2.4.3.3.2. Electronic Record (E-Records) Backup. Labels should show the same information required on paper file folder labels as well as the hardware (computer equipment) and software (computer program) that will read the information. External labels on e-records will include the following on the diskette container/jacket: security classification, disposition instructions (table and rule from the RDS), originating office symbol, title of record, begin and end dates, software used to create the record, and hardware used to produce the record. Labels should be written on or typed before being affixed to prevent damage to the medium when physically affixing labels to individual diskettes and tapes. Never erase information on a label once it is in place. Choose an area away from all holes when affixing a label to a disk.

2.4.3.3.3. Internal or Electronic Labeling. Internal labeling consists of document and file naming within the computer system. Naming electronic files resembles labeling paper file folders with two important differences. Most computer operating systems limit the length of a file name. Some limit the name to a total of 11 characters (8 for a name and 3 for an extension); others permit 25 to 30 characters, allowing more description. Conventions for file naming are not currently standardized. Electronic document naming conventions should be readily understandable so that employees, their colleagues, and/or successors can find and use information stored in computer hard drives, on local networks, and on disks and CD-ROMs. Electronic labels located in subdirectories or folders must also provide sufficient information to find the files within them. For example, a subdirectory labeled 90101GA.1 might show General Office Administration files containing correspondence on arrangements for briefings, conferences, and tours that are destroyed after 1 year. Any logical combination of alphanumeric characters permitted by the operating system and descriptive of the series is suggested for naming subdirectories or folders, as exemplified in **Figure 2.1** below.

Figure 2.1. Computer Directory Showing Office Subdirectories.



```
C:/ C:/WP

(root) (program)

| |——— C:/WP/90101GA.1 (GenOfficeAdmin)

| |

|——————————|——— C:/WP/90101GA.2

| |

| |——— C:/WP/90102GA.3
```

2.4.3.3.4. Indexing and Retrieving Electronic Records (E-Records). The primary purpose of indexing e-records is to provide a rapid and reliable method for the automatic retrieval of user-selected sets of data. Indexing is critical when managing large holdings of records and required for all e-records with retention greater than five years. Use Database Management Systems (DMS), full text retrieval systems, or existing resources to create an index for retrieving electronically stored information.

2.4.3.3.4.1. Create a master list of indexing terms with topics germane to your users. Update and cross-references each topic on the master list to direct users and future indexers to more appropriate or related subject terms.

Chapter 3

PLANNING AND ARRANGING RECORDS

3.1. Office Arrangement. Arrange records to provide safe and easy access for workers and to protect FOUO, sensitive, classified information and *Privacy Act* material.

3.2. Basic Filing Arrangement. When possible, separate records series for ease of filing and retrieving without separate indexing systems. If warranted by the volume of records, subdivide a series for ease of filing, but avoid setting up subdivisions that contain only a few records. Keep paper folders to one inch in volume when possible and limit electronic files based on the assigned storage. Unless directives specify filing procedures, use one of the following arrangements.

3.2.1. Numerical. Use to identify or refer to paper files by number.

3.2.2. Chronological. Use when files are in date sequence or when the date is the primary means of reference. Place record with the latest date on top.

3.2.3. Geographical. Use to file records (e.g., state, country, or city) when the geographical arrangement is the primary means of reference.

3.2.4. Organizational. Use when the name of the organization or level of command is the primary means of reference.

3.2.5. Alphabetical. Preferred method for electronic files as alphabetical sequence sorts quicker and is much easier to locate than numerical files. File by name of project, person, company, base, unit, organization, etc. Disregard articles, conjunctions, and prepositions and omit numbers when filing alphabetically.

3.2.6. Subjective (Project Files). Use when the subject is the primary means of reference. If a records series uses a subjective arrangement and subdivisions, the overall arrangement is subjective, even if you file the subdivision in chronological order.

3.3. General Correspondence File. Keep general correspondence files to a minimum. The RDS is very detailed; most files fall under one of the tables and rules for disposition purposes.

3.4. Standardization. The BRM approves standardized file plans (formats) pertinent to base- or unit-level. For an office below the base- or unit-level, the COR approves the file plan.

3.5. File Drawers. After preparing the file plan and files disposition control and folder labels, arrange physical file drawers in the sequence shown on the file plan, aligning labels on the left side of the drawer. Electronic files include file plan replication on the shared storage network. The parent folders of each record category is named and aligned to replicate the file plan. Sub-folders are created as needed by the action officers and named by project, process, or contract number rather than file number. Sub-folders of electronic files are not placed on the file plan. Sub-folders only use alphabetical naming convention to ease search and retrieval in the shared environment.

3.6. Charge Out Records. Prepare and place an AF Form 614 or 614A, *Charge Out Record*, in place of a record or folder removed from physical files. Allow "copies" of final electronic records to be used by those authorized. Record copies, regardless of media, are destroyed when no longer needed.

3.7. Instructions for Using Guide Cards, Folders, and Labels.

3.7.1. Disposition Guide Cards. Use a guide card with the disposition control label affixed to control each physical record series listed on the file plan. Place a disposition guide card in front of each series and in the same sequence shown on the file plan. Place the disposition control labels consistently throughout the file. Keep disposition guide cards with the active and inactive files as long as the files are kept in the current files area. Do not retire or discard disposition guide cards when retiring or destroying the records; reuse them if they are still in serviceable condition. When a disposition guide card cannot be placed in front of a records series, or when the records are kept away from the file drawer, place the disposition control label on the container, or on a card or sheet of paper in the container or binder, where they are conspicuous. Using a disposition guide card does not consistently work well with hanging files. Cut down the guide card and place it with a disposition control label in the hanging file.

3.7.2. Locator Guide Cards. Affix a guide card with a label in any position to facilitate reference to the files. Use a locator guide card to support large volumes of records or to show a break of smaller subdivisions. If necessary, use locator guide cards in active and inactive files. Locator guide cards are custom and cannot be printed from AFRIMS.

3.7.3. Folders. Use folders to group related paper records together. Use a folder for each record series or subdivision listed on the file plan when filed in a drawer. Do not use folders with notes, memos or hand-writing as it can confuse the record user. Transitory materials may be filed in one of four folders. Manually mark the folders containing classified records with the highest security classification of the contents.

3.7.4. Folder Labels. Use AFRIMS-generated labels for each record series and subdivision listed on the file plan. Position labels to suit the need of the office; be consistent throughout the file and remove all memos and sticky notes. Place the folder labels on Kraft file folders in hanging files, not on the hanging file. Include the year, (calendar or fiscal) on the folder labels for records with a retention period of one year or longer. Using a pencil to mark the year will allow you to reuse folders and folder labels. Cut off transitory records monthly; do not put the year on the folder labels. Perpetual-type records that are cut off and disposed of after an event occurs, or when superseded, or no longer needed, do not require the year on the label. When the contents of the folders become too bulky for easy use, use as many folders as necessary. If so, label to show inclusive dates in each folder. Mark the folders containing classified records with the highest classification of the contents.

EXCEPTION:
Label folders that move with the individual on reassignment (clinical, field personnel records, flight records folders, or on-the-job training folders) according to the directive prescribing their use.

3.7.5. Label for Locator Guide Cards. Type the item number and title of record series (or other key designator) on the label of the locator guide card to make it easier to locate specific records. Include the year, if needed, to distinguish between years in perpetual-type records.

3.7.6. Drawer Labels. Include enough information on the drawer label to identify the records kept in the drawer. The words “ACTIVE” and “INACTIVE” may suffice for small files. When the files expand to more than one drawer, repeat the number on the drawer label.

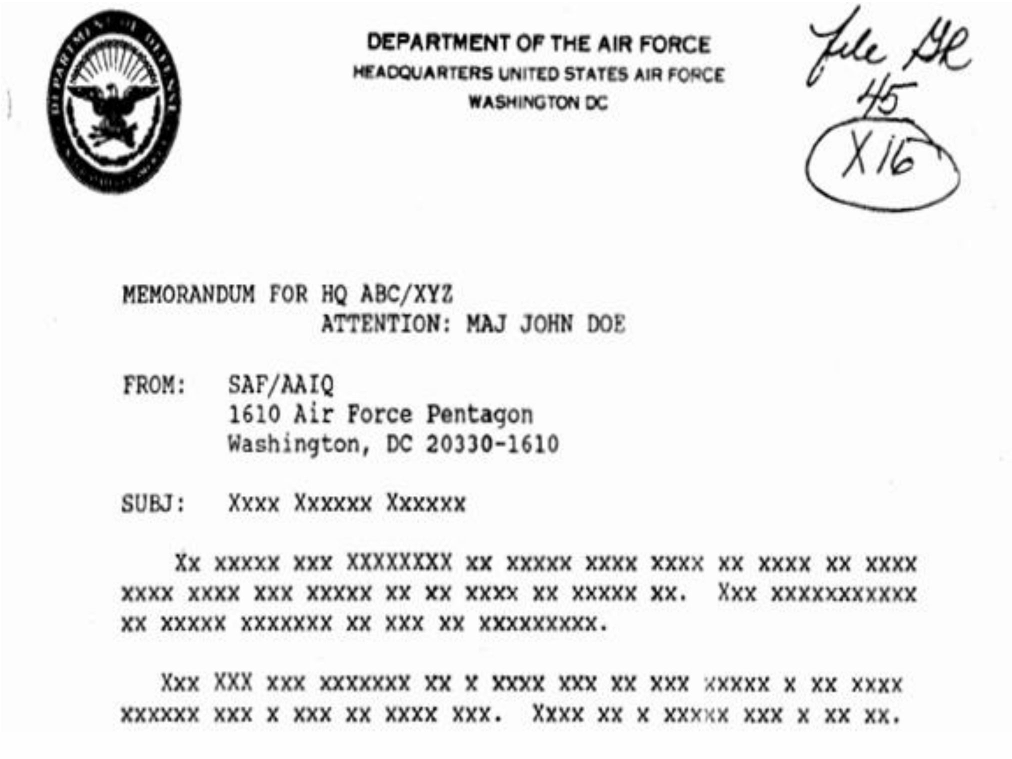
Chapter 4

FILING PROCEDURES RECORDS

4.1. Preparing Records for Filing.

4.1.1. Mark Paper Records for Filing. Ensure all actions are complete and records are ready for filing by marking the upper right-hand corner of the document with the file code and proper official's initials (**Figure 4.1**). Use the item number of the separate series from the file plan, and, if needed, the letter or number of the subdivisions, a subject or enough identification to show where the record is to be filed. Documents that are obviously ready for filing as soon as you create or receive them do not require the file code or the official's initials. **Example:** Suspense copies of a mail control form; memoranda for record prepared for file only; signed receipts for a classified document loaned or transferred; document placed in library-type accumulations for reference use, such as reference copies of publications; copies of messages placed in message reference files; and historical research and reference materials maintained by historians. A RC who maintains a high volume of records and spends a significant amount of time filing in a records series can submit a waiver request to the BRM from file coding Do not apply file codes to electronically stored records.

Figure 4.1. Document Showing Authorization and Code for Filing (Including Cross-Reference Designation).



DEPARTMENT OF THE AIR FORCE
HEADQUARTERS UNITED STATES AIR FORCE
WASHINGTON DC

file GR
45
X16

MEMORANDUM FOR HQ ABC/XYZ
ATTENTION: MAJ JOHN DOE

FROM: SAF/AAIQ
1610 Air Force Pentagon
Washington, DC 20330-1610

SUBJ: Xxxx Xxxxxx Xxxxxx

Xx xxxxx xxx XXXXXXXX xx xxxxx xxxx xxxx xx xxxx xx xxxx xxxx xxxx xxx xxxxx xx xx xxxx xx xxxxx xx. Xxx xxxxxxxxxxx xx xxxxx xxxxxxx xx xxx xx xxxxxxxxx.

Xxx XXX xxx xxxxxxx xx x xxxx xxx xx xxx xxxxx x xx xxxx xxxxxx xxx x xxx xx xxxx xxx. Xxxx xx x xxxxx xxx x xx xx.

4.1.2. Assemble Documents for Filing. Assemble documents for filing in the same manner as required for their creation, dispatch, and use with the latest action on top. Save the last E-mail response to capture an entire dialogue. Save E-mail attachments in their original format or convert to one of the approved formats (see paragraph **6.25.1**). Review the file and take necessary actions to get missing information in the file or make a notation to show what part of the file is missing or where it is filed if included in another folder. E-record pointers (hyperlinks) may be used as long as the record metadata reflects the retention of the longest record associated to the linked document. If a record requires a destruction certification, file a copy of the destruction certificate with the record or in the folder.

4.2. Cross References. Use DD Form 2861, *Cross-Reference*, when filing a physical record that involves more than one records series. If copied, use the copies instead of the DD Form 2861. Mark the copies by using "X" along side the appropriate file code and circling the appropriate file code in the upper right-hand corner to show where the duplicate copies are filed (**Figure 4.1**). Cross reference of e-records may be accomplished in the metadata fields.

4.3. Filing Classified Records. Safeguard classified files according to DoD 5200.1-R, *Information Security Program*; and AFPD 31-4, *Information Security*. File classified material separately, unless it is necessary to maintain continuity of a particular transaction or event, or the volume of unclassified material is too small to justify establishing separate files. If the unclassified records must be maintained with the classified, protect according to its highest classification. Do **not** file extra copies of classified records except to support the case file. Show the highest classification of records in the file on the folder tab (or on the folder label, if space permits). Otherwise, keep label and file designations the same as the folders containing unclassified material. Stamp the outside front and back of the file folder with the highest classification of the records filed in the folder. File classified records or other classified material in equipment authorized for each classification or in a secure area or vault. Keep separate folders for classified and unclassified records on the same subject. Place a DD Form 2861 in both folders. When adding a classified record to a large unclassified file, substitute a cross-reference sheet for the classified record. Do not make any classified entries on the cross-reference sheets.

4.4. Files Cut-off Procedures. The COR makes sure RCs review the files (both paper and electronic) at least annually, cut off the files, and separate active from inactive records. Destroy, transfer, or retire eligible records according to instructions on the file disposition control label and the RDS, with the cut-off date determined by the table and rule. For transferring records to one of NARA's Federal Records Center, complete a SF Form 135, *Records Transmittal and Receipt* per **Attachment 2**. The act of initiating the transfer to NARA of records already scheduled as permanent is a scheduled offer, now called a scheduled transfer. **Exception:** There are many record series for which a cut-off date is not proper, such as material eligible for immediate destruction when superseded, obsolete, no longer needed, or similar circumstances. Also, there are perpetual files that continue as active until the specific disposition occurs. Review these files at least annually to determine status. Document the results of this review and file the results with the file plan in file number 0-1.

4.5. File Plans for Deployed Units. File plans for deployed units should consist as a minimum of items that cover maintenance and disposition, policy and precedent, delegations, general correspondence, office administrative files, transitory, word processing files hard copy maintained in organized file, and presentation in accordance with the RDS. Add additional items as mandated by the specific mission of the deployed unit.

Chapter 5

FILING SUPPLIES AND EQUIPMENT

5.1. Filing Supplies and Equipment. Use the most economical filing supplies and equipment. The following is a suggested list of items to be used in maintaining files. Office improvement or upgrade is not justification to request new filing equipment.

5.2. Standard Filing Supplies.

5.2.1. Guide Cards, Folders, Labels. Recommend the standard guide cards, file folders, and labels in **Table 5.1** unless a strong justification warrants using nonstandard supplies.

Table 5.1. Items to Use in Maintaining File Plans.

	A	**B**	**C**
RULE	**If the description is**	**and it is**	**then the National Stock Number is**
1	Guide cards	Letter size, first or third cut	7530-00-988-6515
2		Second cut	7530-00-988-6516
3		Legal size, first or third cut	7530-00-988-6520
4		Second cut	7530-00-988-6521
5	File folders	Kraft folders, letter size	7530-00-663-0031
6		Kraft folders, legal size	7530-00-200-4308
7	AFRIMS support	Labels (4 by 1-7/16 inches)	7530-00-082-2662
		Labels (4 by 1 inch), Avery 5161 (or suitable equivalent)	
		Labels (4 by 2 inches) Avery 5163 (or suitable equivalent)	

5.2.2. Letter-Size and Legal-Size Folders. Use letter-size folders and guides when possible. Local supply activities may issue nonstandard filing supplies when standard supplies are not available and when an Air Force directive prescribes them (e.g., supervisor's employee work folders, six-part jackets for aircraft maintenance records).

5.3. Suggested Standard Filing Equipment. Make sure all filing equipment, whether standard, nonstandard, or office system equipment is functionally compatible with the filing procedures in this manual. Be sure equipment has file stops in order to use the guide cards and file folders, and the equipment has drawer-labeling capability. The use of hanging files is authorized when office systems equipment is approved. Use them as hanging "holders" rather than hanging folders, using a Kraft folder inside for filing your records. Do not send hanging files when shipping records to staging area or records centers. Hanging files are nonstandard filing supplies and can only be used as “holders” of the official file. Do not use them in standard file cabinets or four- and five-drawer security safes that have file stops. If hanging files are required, order them through supply channels. Consider used or reconditioned filing equipment as a suitable substitute for new filing equipment. Make excess filing equipment available to other offices within an organization or turn it in for redistribution.

5.4. Shelf-Filing Equipment. Shelf-filing equipment, authorized in Allowance Standard 006, may be more appropriate than filing cabinets for certain office needs. The seven-tier open-shelf file cabinet, with or without doors, is standard equipment and is more economical. It also provides greater storage of records per square foot than filing cabinets. Save-an-Aisle shelf files are authorized when justified by the COR and approved by the BRM or Command Record Manager (CRM).

5.5. Procedures for Requesting and Controlling Filing Equipment and Nonstandard Filing Supplies.

5.5.1. Filing Cabinets. Use letter-size cabinets to the maximum extent practicable for letter-size material. Use legal-size cabinets when the majority of the filed material is legal-size or larger. Use key-lock cabinets **only** when directives require material to be kept under lock and key. Consult with the BRM when planning the use of powered or mechanized filing equipment. Do not contact the vendors’ representatives directly without approval of the BRM and the contracting office. After consultation with the BRM and after the COR concurs with the need for such equipment, send the request through the BRM for approval. Consider the following factors:

5.5.1.1. The system for which the equipment is intended is well established and not likely to undergo changes that would eliminate the need for the equipment within the next five years.

5.5.1.2. The location of the equipment is suitable. Ensure the records storage facility meets the conditions described in **Attachment 3**.

5.5.1.3. The appropriate safety standards, physical features of the building and protection of classified information.

5.5.2. The COR reviews each request for nonstandard filing equipment or supplies and provides a recommendation for approval to the BRM, who approves or disapproves the request. Upon approval, the COR takes action to procure equipment.

Chapter 6

MANAGING ELECTRONICALLY STORED INFORMATION (ESI)

6.1. Objectives.

6.1.1. The overall objectives of this chapter are to provide essential procedures to manage and protect electronically stored information (ESI) while protecting the integrity of e-records throughout their lifecycle. This chapter provides standards to ensure provisions for preserving, protecting, and disposing of records on electronic media are made and incorporated into each phase of the information lifecycle and used to manage ESI throughout all phases. Amendments to Federal Record Center Program (FRCP) guidance are published to address issues associated with the preservation and production of all information in digital form, henceforth referred to in this manual as ESI. **Attachment 4** provides the announcement of these changes to the Enterprise.

6.1.1.1. Introduction of Electronic Records Management (ERM):

6.1.1.1.1. Provides a method for ensuring ESI is available and protected to support business operations as well as meet statutory requirements to provide appropriate access throughout the ESI life-cycle.

6.1.1.1.2. Provides guidance for maintaining and preserving ESI until the Air Force has a Records Management Application compliant with DoD 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard , and used across the Enterprise.

6.1.1.1.3. Describes the minimum records management requirements based on, including but not limited to, the NARA policies, statutory requirements of Title 44 United States Code (USC) Sections 1901 and 3301, 36 Code of Federal Regulations (CFR) Parts 1228, 1234, and 1236, and the DoDD 5015.02 and standards.

6.1.1.1.4. Assists Records Professionals (RPs) and Action Officers by providing a standard ERM solution to the Enterprise, reminds commanders and agency directorates that they are responsible for enforcing and monitoring compliance with legal, DoD and Air Force policies, imposing ERM controls on all ESI in accordance with the Air Force Records Disposition Schedule (RDS).

6.1.1.2. ERM requirements:

6.1.1.2.1. Paper records will co-exist with e-records; however, after 1 September 2007, paper will be limited to those occasions when electronic media cannot be accepted in accordance with the E-Government (E-Gov) Act, GPEA, and the President’s Management Agenda.

6.1.1.2.2. The integrity of ESI must be maintained throughout the life-cycle of final records. Read-only access rights are provided to personnel who have a need-to-know as determined by the appropriate authority when the ESI contains *Privacy Act* or other sensitive data.

6.1.1.2.3. Fundamental records management rules are media neutral and apply to all ESI.

6.1.1.2.4. System security is a records maintenance requirement.

6.1.1.2.5. Computer resources (hardware and software) are available to effectively and efficiently manage ESI.

6.1.1.2.6. Users have a basic working knowledge of computer technology (e.g., Microsoft Windows and Office) and records management.

6.1.1.2.6.1. Users will receive annual records management training. Record professionals include FARMs, CORs, and RCs will receive intermediate records management training; CRMs and BRMs will receive advanced records management training. CORs may waive records management training by providing a statement that they are capable of performing their duties without the current intermediate records management training. Use their statement date as the CORs training date in AFRIMS. A copy of the statement or COR training completion certificate must accompany each lost record report. The Air Force Record Officer / Program Manager (SAF/XCPPA) will establish training criteria and validate requirements annually.

6.1.1.2.7. ERM compliance is mandatory.

6.1.1.2.8. Users understand the FRCP definition of ESI has been expanded to include any type of information, draft and final records and non-record materials, relevant to an impending litigation. ESI includes any information stored in a medium from which it can be retrieved and examined. The most common sources of ESI are E-mail, working papers, drafts, duplicates, copies and contract records. Personal records stored on Enterprise assets may be subject to discovery.

6.1.1.2.9. Users are aware that FRCP rules create an extremely broad description of what ESI must be disclosed, place a time limit for the disclosure, and institute a “good-faith” test for retention schedules. These new rules often require quick identification and preservation of e-records and a delayed response to an ESI request can be costly and compromise Air Force interests during litigation.

6.1.1.3. ERM benefits. Air Force organizations will realize many benefits from managing official e-records, such as, according to a Coopers & Lybrand study, faster retrieval of information, reduced physical record storage space and paper holdings, and increased productivity (e.g., on average each organization/person spends $280 recreating each “lost” document and spends $120 searching for each misfiled document).

6.1.1.4. ERM requires participation and cooperation of various functional owners with respect to technologies and policies.

6.1.1.4.1. Managing e-records on a Shared Network Drive. This involves the participation of the Network Control Center (NCC) staff, base/unit RPs, BRMs, FARMs, RCs and CORs.

6.1.1.4.2. ERM Rules of Engagement:

6.1.1.4.2.1. RCs create office file plans using the tools in the AFRIMS located at **https://afrims.amc.af.mil.rds_series.cfm**. The location of e-records must be included in file plans.

6.1.1.4.2.2. CORs are responsible for the physical and legal custody of records created or received by the office, regardless of media. This responsibility includes monitoring compliance of legal and regulatory requirements.

6.1.1.4.2.3. Users creating and maintaining records have responsibilities to include compliance and filing. RCs ensure users are trained to understand and perform their responsibilities.

6.1.1.4.2.4. Program managers must identify vital records needed to continue day-to-day operations without interruption or mission degradation after a disaster such as terrorist attack, hurricane, etc.

6.1.1.4.2.5. Folder access is assigned to groups or individuals rather than documents. Access to final records is always limited to read-only. RPs are the only group authorized to delete records.

6.1.1.4.3. Transferring ESI to a Shared Drive. ESI may be placed on several drives for ease of coordination or sharing. After the ESI is signed or approved the document becomes a final record and must be transferred to the shared drive designated for records to allow life-cycle management.

6.1.1.4.4. System Back-Up. The NCC provides daily back-up of the dedicated electronic storage areas. Back-ups are used for record restoration when the system becomes corrupt or ESI is lost. Duplicate back-ups are made for vital records and maintained in geographically separate locations.

6.1.1.4.5. ERM Responsibilities by Role:

6.1.1.4.5.1. Users provide ESI descriptions to the RP.

6.1.1.4.5.2. The RP develops File Plans to incorporate each ESI category, designate electronic file (e-file) storage, and assign access.

6.1.1.4.5.3. COR reviews and signs the Files Maintenance and Disposition Plan. The COR's signature indicates the COR approves the record categories and validates vital record identification, disposition, and folder access. After the COR signs, file plans are work-flowed to the base approval authority.

6.1.1.4.5.4. A FARM may be delegated as the file plan approval authority by the BRM.

6.1.1.4.5.5. BRMs retain approval authority for file plans but may delegate this authority to trained FARMs, provide RM assistance to FARMs and base agencies (host and tenant), and provide training to FARMs/RCs and customers.

6.1.1.4.5.6. MAJCOM, FOA, and DRU RMs ensure units (host and tenant) on each base are provided assistance to implement ERM and develop metrics to track implementation and compliance with RM requirements.

6.1.1.4.6. Business Rules for e-files Management:

6.1.1.4.6.1. AFRIMS file plan disposition and folder titles are replicated on the shared drive.

6.1.1.4.6.2. Access is restricted on folders containing sensitive, *Privacy Act* data.

Access is controlled by password and/or group permissions.

6.1.1.4.6.3. E-mail attachments are saved and filed with the original E-mail.

6.1.1.4.6.4. Laws, policies and strategies to eliminate or reduce paper between Federal agencies are enforced to limit paper to meet historical and legal compliance.

6.1.1.4.6.5. Document and folder names are kept short to prevent limitation of the Microsoft Windows operating system, Microsoft Office programs, and some CD/DVD burning (writing) software.

6.1.1.4.7. Creating/Revising e-files Area. Each office of record uses an approved Files Maintenance and Disposition Plan to store and manage their records. This plan must be created in AFRIMS and serves as the foundation for managing the storage area.

6.1.1.4.8. E-Records Life-Cycle includes creating, filing, retrieval and use, transferring, and disposal.

6.1.1.4.9. File e-records according to the ***Air Force Electronic Records Management (ERM) Solution Using Existing Resources*** guide located under Helpful Links in AFRIMS. The guide will also aid users determining record phase—draft or final. Draft records eligible for disposition require maintenance even though they are works in progress.

6.1.1.4.10. ESI retrieval is an important part of records management and is greatly enhanced by completing the record metadata (summary information) at the time of document creation. Microsoft applications have a summary information section (e.g., in Microsoft Word, click Tools, click Options, click Save tab, click to place a checkmark in the box in front of "Prompt for document properties"). Upon completion much of the metadata is completed by the computer.

6.1.1.4.11. Transfer and Disposition. E-records are transferred from one place to another many times during their life. If you are not a RP, your transfers may be limited to transferring records from working or draft records to final records.

6.1.1.4.12. E-Records Storage issues:

6.1.1.4.12.1. Unprotected e-records are fragile and the risk of undetected alteration or tampering is greater than with paper. The ability to update, revise, or reuse electronic media makes the life-cycle brief and more complex than that of other record media. For these reasons, action officers (AO) must determine security safeguards, access, and disposition as early as possible in the life-cycle of the record and the RP must ensure folder access to sensitive information is restricted to those with a need to view.

6.1.1.4.12.2. The FARM, with support from the Client Support Administrator (CSA) and NCC staff creates "READ ONLY" e-file directories on the organization's network drive/CD-ROM. The NCC and CSA share the responsibility for maintaining data integrity in these directories. FARMs must ensure access is limited to those with a need-to-know on records containing sensitive or *Privacy Act* information.

6.1.1.4.12.3. The FARM, CSA and NCC staff form a partnership to promote and provide access to routine/non-sensitive records with a need-to-share strategy.

6.1.1.4.12.4. The RCs, FARMs, CSAs, and NCC staff validate back-up procedures; monitor access to determine active and inactive records; move inactive records to off-line storage; and strategically plan for future storage needs.

6.1.1.4.12.5. The FARMs/RCs maintain the permissions for e-file users and assigning rights and permissions for users and folders. This important aspect is critical when acquiring dedicated storage for e-records and enabling records maintenance.

6.1.1.4.13. Mapping to and disconnecting from a Shared Network is accomplished by the user who may obtain the specific location from the unit CSA or RP.

6.1.2. E-records are the data that is read and processed by a machine and satisfy the legal definition of a record.

6.1.2.1. Records are media neutral; document business performance or transactions; are made or received in the performance of duties; could affect or document policies, actions, or decisions; and relate to actions or information that has value.

6.1.2.2. E-mail messages and database are common sources of e-records, even when the output is converted to paper.

6.1.2.3. Automated Information Systems (AIS) create records and must be submitted for approval and scheduling (reference paragraph **6.2**).

6.1.2.4. Electronic recordkeeping involves using a machine to create, store, retrieve, analyze, transfer and/or delete records.

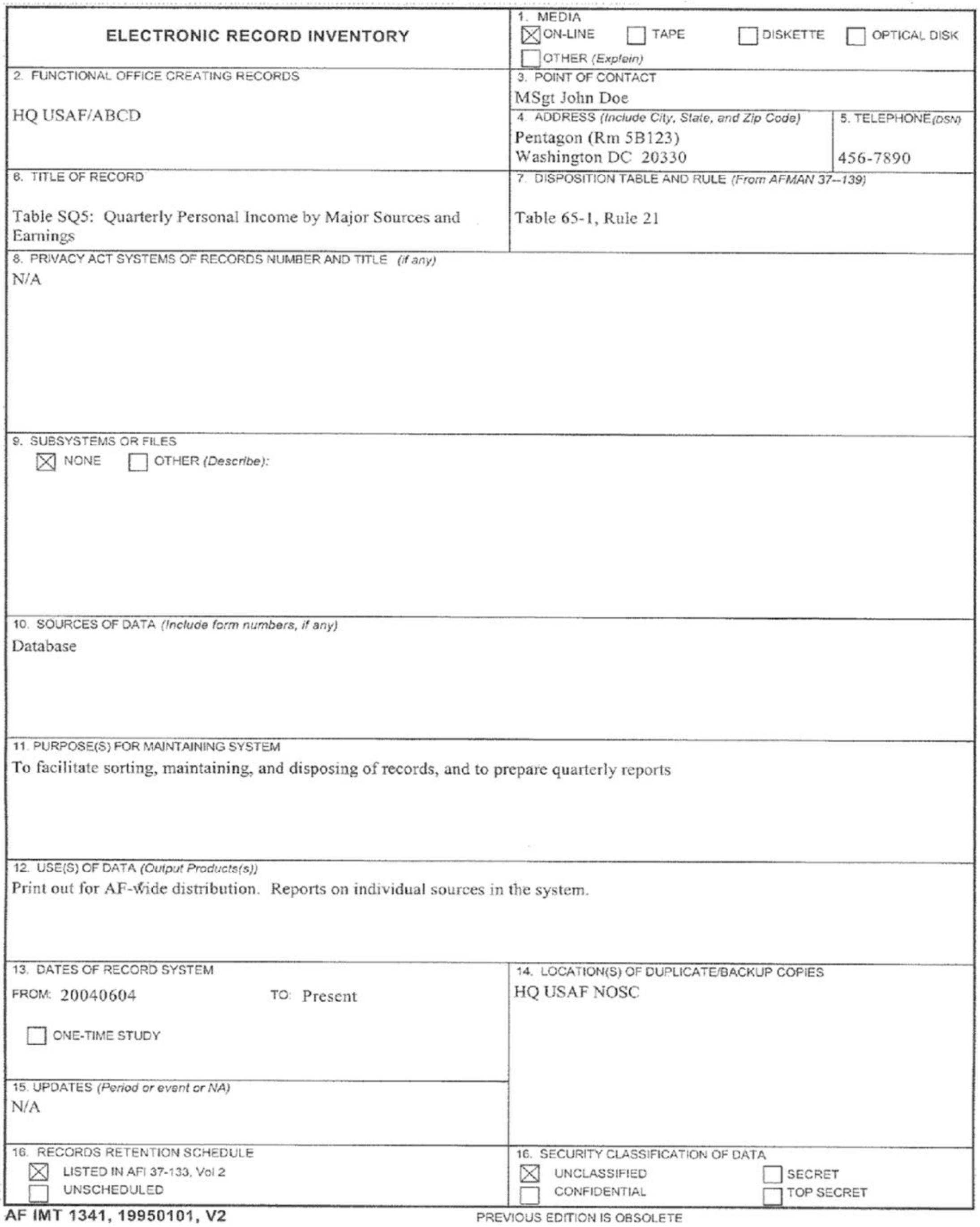
6.1.3. Scanned Documents. Paper records may be scanned into a NARA approved format, formats can be found at **http://www.archives.gov/records-mgmt/initiatives/transfer-to-nara.html**. Evaluate cost effectiveness prior to scanning, and perform 100% quality assurance evaluation (QAE) validation prior to destruction of paper.

6.2. Life Cycle Management of E-Records. Until implementation of the Air Force Enterprise Information Management Solution, ESI is maintained in accordance with the Air Force ERM Solution to ease record transition into an Enterprise solution. ERK systems and AIS require approval by the AFRO to meet the requirements levied by Congress via Information Technology Management Reform Act (ITMRA, also referred to as the "Clinger-Cohen Act"), the Government Information Security Reform Act (GISRA), Public Law (P.L. 106-398, October 30, 2000, reference P.L. 106-398, Subtitle G, Section 1061 (pp. 266-272)). IT systems are “Any telecommunications and/or computer-related equipment or interconnected system or subsystems of equipment used in the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of voice, and/or data, including software, firmware, and hardware (this includes automated information systems) according to Title 44 United States Code, Sections 3301, and 3303; 36 Code Federal Regulations, Sections 1228.26 and 1234.32.

6.3. Record Management Roles and Responsibilities. In addition to duties outlined in AFI 33-322, *Records Management Program*, the Record professionals (RP) must protect record content and comply with FOUO, sensitive, *Privacy Act*, and other policy and legal requirements.

6.3.1. The AFRO is the Program Manager and the office of primary responsibility (OPR) for planning, managing and facilitating the records management program and related policies. The AFRO is the approval/waiver authority for ERK systems within the Air Force containing long-term or permanent records. The system OPR prepares an AF Form 1341, *Electronic Record Inventory* (**Figure 6.1**), the ERK Proposal, and an AF Form 525, *Records Disposition Recommendation* (**Figure 6.2**) with decision logic table attached (**Table 6.1** for submission through the BRM and CRM to the AFRO for approval. The AFRO then facilitates a system review by NARA staff to gain system approval and to have the system and its records scheduled in the RDS.

Figure 6.1. Sample AF Form 1341, *Electronic Record Inventory*.



ELECTRONIC RECORD INVENTORY

1. MEDIA
☒ ON-LINE ☐ TAPE ☐ DISKETTE ☐ OPTICAL DISK
☐ OTHER *(Explain)*

2. FUNCTIONAL OFFICE CREATING RECORDS
HQ USAF/ABCD

3. POINT OF CONTACT
MSgt John Doe

4. ADDRESS *(Include City, State, and Zip Code)*
Pentagon (Rm 5B123)
Washington DC 20330

5. TELEPHONE *(DSN)*
456-7890

6. TITLE OF RECORD
Table SQ5: Quarterly Personal Income by Major Sources and Earnings

7. DISPOSITION TABLE AND RULE *(From AFMAN 37--139)*
Table 65-1, Rule 21

8. PRIVACY ACT SYSTEMS OF RECORDS NUMBER AND TITLE *(if any)*
N/A

9. SUBSYSTEMS OR FILES
☒ NONE ☐ OTHER *(Describe)*:

10. SOURCES OF DATA *(Include form numbers, if any)*
Database

11. PURPOSE(S) FOR MAINTAINING SYSTEM
To facilitate sorting, maintaining, and disposing of records, and to prepare quarterly reports

12. USE(S) OF DATA *(Output Products(s))*
Print out for AF-wide distribution. Reports on individual sources in the system.

13. DATES OF RECORD SYSTEM
FROM: 20040604 TO: Present
☐ ONE-TIME STUDY

14. LOCATION(S) OF DUPLICATE/BACKUP COPIES
HQ USAF NOSC

15. UPDATES *(Period or event or NA)*
N/A

16. RECORDS RETENTION SCHEDULE
☒ LISTED IN AFI 37-133, Vol 2
☐ UNSCHEDULED

16. SECURITY CLASSIFICATION OF DATA
☒ UNCLASSIFIED ☐ SECRET
☐ CONFIDENTIAL ☐ TOP SECRET

AF IMT 1341, 19950101, V2 PREVIOUS EDITION IS OBSOLETE

6.3.2. The CRM at MAJCOM or the ARM at FOA, DRU, and affected unified and specified commands is the approval authority for proposals on ERK systems for AISs in their command for records kept less than 10 years. System OPRs prepare the AF Form 1341 and the ERK Proposal for submission to the CRM or ARM as applicable.

6.3.2.1. The CRM or Agency Records Manager (ARM) prepares actions on ERKS Proposals for Temporary Records. CRM bases approval on, at a minimum, disposition according to the RDS. The CRM provides copies of approved proposals to the Records Officer (RO) when requested.

6.3.2.2. Establish Procedures to Comply with this Manual. The CRM gives advice and guidance to commanders and staff elements on ERKS as needed and periodically reviews electronic records systems to ensure they conform to requirements of the records management program as described in AFI 33-364.

6.3.3. The BRM gives advice and guidance to commanders, CORs, and FARMs on the specifics of how to set up and maintain an ERK system; provides guidance on the records management program; and works with the functional systems administrators for the records server to ensure official records, to include E-mails and other e-records, are protected from unauthorized destruction and are backed up regularly, i.e., daily or weekly.

6.3.4. The FARM assists the system OPR and RM in preparing proposals, in reviewing and evaluating ERK proposals for AISs, and oversees the administration of the unit ERK system.

6.3.5. The COR ensures all personnel maintain ESI according to the policy and legal requirements, provides guidance to the RC, and is ultimately the one accountable for the ESI created in their functional area.

6.3.6. The ERK System OPR for any e-records maintained outside the Air Force ERM Solution (e.g., those in locally-developed AISs) for which there is no Air Force disposition, prepares a separate ERK system proposal for each series of records and sends the proposal through appropriate channels to the Air Force RO for final NARA approval.

6.3.7. The CSA work closely with the NCC and RM to ensure sufficient space is allocated for the storage of official e-records and to ensure appropriate permissions are established for records professionals and users according to the Air Force ERM Solution.

6.3.8. The NCC staff works closely with the BRM and CSA to maintain a central e-file repository for the installation and ensures the repository is backed up in case of catastrophic failure to facilitate successful disaster recovery.

6.4. Contractor Support. Government contractors who create or maintain Air Force e-records must meet the requirements of this manual. The government OPR/Program Manager initiating outsourcing a RM function includes these requirements in the Contract Statement of Work, Performance Work Statement, Statement of Need, etc. Contractor functions must submit an appointment letter identifying personnel to be trained to perform SAVs, utilize AFRIMS, etc. When no RP is assigned or identified, the contractor quality assurance evaluator is responsible for all lifecycle record management and all duties assigned to RP.

6.4. (482FW)Contractor Support. All Contracting Officer Representatives who were formally called Quality Assurance Evaluators (QAE), shall be assigned as Chief of the Office of Record (COR), for the outsourced service contractor designated functional areas. The 482d Mission Support Group, Program Management Office (482 MSG/PMO) initiating outsourcing records management functions, are required to complete the annual Records Management Role Based Training course (this is a mandatory annual requirement). The Contracting Officer Representatives will monitor the assigned outsourced contract Records Professionals (RP), to ensure that records management functions are carried out as outlined in AFMAN 33-363, annual training requirements are accomplished on time, and contract office of record leads have appointed RPs and sent a copy of the appointment letter to the Base Records Manager's (BRM) office. The Contracting Officer Representatives responsibility is inherent and may not be delegated. **Note:** Authorization to destroy government records is inherently governmental.

6.5. Electronic Record Keeping (ERK) Systems Solutions. Records in AIS and managed outside an Air Force ERM Solution must be identified and managed by the system according to Department of Defense Instruction (DoDI) 5000.2, *Operation of the Defense Acquisition System and AFI 63-101, Operations Of Capabilities Based Acquisition System*. The AIS OPR must determine the appropriate RDS rule for each record and how long the records will remain in the system. Accountability and enforceability of the record dispositions for system records are accomplished by scheduling the system with NARA through the AFRO. Prepare AF Form 1341, *Electronic Record Inventory,* and the Electronic Recordkeeping Proposal for submission through the BRM, CRM or ARM to the AFRO (**AF.Records@pentagon.af.mil**) for approval. Electronic record keeping systems must be DoD 5015.02-STD compliant and have records management approval/coordination.

6.6. Documentation. The OPR must address the disposition of records in all life cycle phases and incorporate the documentation into applicable tables and rules of the RDS. The OPR keeps satisfactory information to access, retrieve, and make changes to the records and up-to-date technical documentation for each ERK that produces, uses, or stores data files.

6.7. Electronic Record Keeping (ERK) Decisions. The OPR must base decisions to initiate ERK on the serviceability of the records, as determined under the appropriate records management instructions. Records are serviceable if the system and filing procedures provide timely search and retrieval, and ease of update with an adequate audit trail.

6.8. Vulnerability of Electronically Stored Information (ESI). Electronic records (e-records) and storage systems require the careful management of procedures and equipment to ensure the continuing accuracy and availability of the information. Air Force 33-series publications contain requirements for hardware and software management. An installation's disaster plan must include a description of how vital e-records are protected and recovered during any disaster according to AFI 33-364, and AFI 10-2501, *Air Force Emergency Management Program Planning and Operations* (formerly known as the Full Spectrum Threat Response program). Each functional area must develop a Vital Records Plan or add an appendix to the installations procedures. Refer to **Attachment 5** for an example of the information needed in a Vital Records Plan.

6.9. Maintaining and Preserving Electronically Stored Information (ESI). Changes in the FRCP require access to drafts and records when responding to a record search as described in **Attachment 6**. To better enable thorough searches, drafts and works in progress require shared storage/access and must be included on the file plan. Exclude working papers, drafts, stenographic notes, tapes and disks that have been transcribed; and charts, diagrams, or other graphic material used during briefings and data that is summarized in final or other conclusion records. Accurate and complete external and internal labeling of files and folders is essential to ensure identity and content of individual items, to retrieve information, and to preserve the ESI from unintentional or intentional illegal destruction.

6.9.1. External Labels for Diskettes, CDs and DVDs. The OPR must properly identify information in the document and on external storage labels. Identification should include the name of the organization, the table and rule from the RDS, a descriptive title for the contents, the dates of creation, and identification of hardware and software used. For permanent or unscheduled records, include the name of the organizational unit responsible for the data, system title, and security classification, if applicable. Additionally, maintain the following information for (but not necessarily attached to) each particular media used to store ESI: file titles; dates of creation; dates of coverage; the recording density; type of internal labels, if any; volume serial number, if applicable; numbers of tracks; character code/software dependency; and information about block size. For numeric data files, include record format and logical record length, if applicable; data set names and sequence, if applicable; and the number of records for each data set.

6.9.2. Other External Labels. Use the labels in paragraphs **6.9.2.1** through **6.9.2.3** as required. **Note:** If unable to affix labels to any media, place the media in an envelope and affix the labels to the envelope or container.

6.9.2.1. Records Management Disposition Control Label. The OPR places the label on guide cards and physical media, as appropriate, and also uses a cross-reference method on that copy.

6.9.2.2. Standard Forms (SF) 706, *Top Secret ADP Media Classification Label*; 707, *Secret ADP Media Classification Label*; and 708, *Confidential ADP Media Classification Label*. Label any external medium with the highest classification of the contents when it contains classified information using the appropriate label.

6.9.2.3. Air Force Visual Aid (AFVA) 33-276, *Privacy Act Label*. Protect *Privacy Act* material to avoid inadvertent unauthorized access. This label is intended for use on external media such as diskettes, CDs, DVDs, etc., not guide cards, file drawers, or other such stationary equipment/materials. See AFI 33-332, *Privacy Act Program*, for complete details on the use of this visual aid.

6.9.3. Internal Identification. The originator of the document is responsible for the internal identification. All systems require a unique name for new records or files in order to save the record on the medium. The design of each computer operating system determines how physical file names are entered into that system. The internal identification of magnetic tapes is controlled by the software and written on the beginning of each tape. The OPR provides enough information to identify the record and allow quick and easy retrieval. Use the RDS to resolve conflicts between internal and external dates prior to purging tapes.

6.9.4. Internal Indexes. The OPR uses internal indexes with the file plan. At the time the e-record is created, the OPR must indicate, as a minimum, the name of the record, the addressee, the date created, the name or number of media on which the record is stored, and provide a short summary of the record, if possible.

6.10. Selection and Maintenance of Magnetic Storage Media. Records are stored on a variety of storage media, to include paper, magnetic tape, disks, CDs, and DVDs. This paragraph establishes selection and maintenance policy strictly for magnetic media that store the official e-record. It focuses on e-records that are parts of e-records systems being maintained outside the official ERK system for good reason.

6.10.1. Storage Media Selection. The OPR selects appropriate media for storing e-records outside of the approved Air Force ERM, according to their life cycle. Media allows easy retrieval in a timely fashion, distinguishes between record and non-record material, retains records in a usable format until their authorized disposition according to the RDS, and allows a permanent text document to be printed on paper or transfer to NARA or the Federal Records Center (FRC) after converting to the acceptable format. In the current environment, the most common types of media are diskettes, hard disks, immediate access storage devices, CD-ROMs and DVDs.

6.10.1.1. Diskettes. Follow the manufacturer's instructions and Air Force 33-series instructions for guidance when using diskettes.

6.10.1.1.1. Care of Disks. Prevent disks from damage—do not use rubber bands or paper clips on the diskette or its envelope. Keep magnets, including magnetic watches or instruments, at least one foot from flexible and rigid disks to prevent erasing ESI stored on those disks.

6.10.1.1.2. Mailing Diskettes. Protect diskettes from damage and temperature extremes by using sturdy envelopes when mailing or carrying diskettes in a briefcase. Hand carry and pass diskettes over to security personnel before going through X-Ray machines. Under no circumstances will the AO store diskettes in luggage or briefcases when passing through any security X-Ray machines.

6.10.1.1.3. Wet Diskettes. Prevent computer damage by discarding wet, scratched or damaged diskettes and using backup copy.

6.10.1.2. Handling a CD-ROM or DVD. Maintain the integrity of the disk and the ESI on the disk by following care and handlin g guidelines.

6.10.1.2.1. Handle the disk only by the outer edge to keep fingerprints from the surface.

6.10.1.2.2. Use a soft, lint-free cloth for cleaning the disk to remove dust or fingerprints.

6.10.1.2.3. Wipe from the center to the outer edges and never wipe in a circular motion.

6.10.1.2.4. Do not touch the unlabeled shiny side of a disk — that's the recording surface.

6.10.1.2.5. Do not set a disk down on hard surfaces that can scratch the recording surface.

6.10.1.2.6. Do not use abrasive or solvent cleaners, audio CD disk cleaners, or conventional vinyl record cleaning solutions on the disk. Chemical-based cleaners and cleaners that are safe for audio CDs may not be safe for other CDs.

6.10.1.3. Storage.

6.10.1.3.1. Store disks in their storage cases to avoid scratches.

6.10.1.3.2. Store disks in a cool, dry place, away from direct light or sunlight. The ideal storage temperature is between 23° F - 86° F.

6.10.1.3.3. Do not spill liquids or allow moisture to condense on the disk.

6.10.2. Online Storage with Hard Disks (to include Servers). A hard disk is a high capacity storage and retrieval medium for computers. Hard disks, especially central servers where official records are maintained are in common use and require a certain amount of housekeeping in the form of space management, indexing, retention management, and backup to preclude losing records.

6.11. Official Records on Personally-Owned Computers, Hand-Held and Blackberries. The COR is responsible for the official records created by those assigned to his or her office. CORs develop and monitor processes to ensure employees do not use personally-owned computers (including systems at home) to maintain or store Air Force (Government) records (AFI 33-202, Volume 1, *Network and Computer Security*). Employees (military, civilian and contractor) must transfer records created on a personally-owned computers such as laptops, handheld, or stored on thumb drives to the office repository. The COR monitors and ensures the transfer of records to an approved repository is accomplished with two workdays.

6.12. Judicial Use of Records. Records on any media may contain information that is of legal significance and may be admitted as evidence in state or federal court proceedings if authenticity, accuracy, and general trustworthiness are established. ESI should be stored in a system and integrity must be established by documenting the system's operation and have controls imposed to enforce records management statutory and policy requirements.

6.12.1. Air Force Records Searches. The AFRO notifies the Command/Agency RM that a search has been requested; Command/Agency RMs follow the instructions that come with the notification. The following instructions generally apply to each RP:

6.12.1.1. Conduct a thorough record search for documents including but not limited to the list of categories or key words.

6.12.1.2. Prepare an index identifying each document by date and author, classification, category, and the name, grade, duty location and telephone number of the individuals who performed the search.

6.12.1.3. Separate documents containing Sensitive Compartmented Information and information subject to Special Access Program restrictions from other documents. Identify and describe any document withheld from production. Provide basis and justification for **not** producing the document to respond to any challenge as soon as possible but not later than (NLT) the suspense established by the AFRO.

6.12.1.4. If you do not have possession, custody or control of any requested documents but have information concerning the location of such documents, provide that information as soon as possible but NLT the suspense established by the AFRO.

6.12.1.5. The MAJCOM, FOA, or DRU RM compiles a list of responses (inventory of documents supplied and lists them by base and OPR responding, phone number, etc.) and provides per the instructions provided in the search.

6.13. E-Record System Integrity. To enhance the legal admissibility of Air Force e-records, the office of record must:

6.13.1. Document each e-record system that uses the same processes each time to electronically generate and store similar kinds of records and uses a standard retrieval approach.

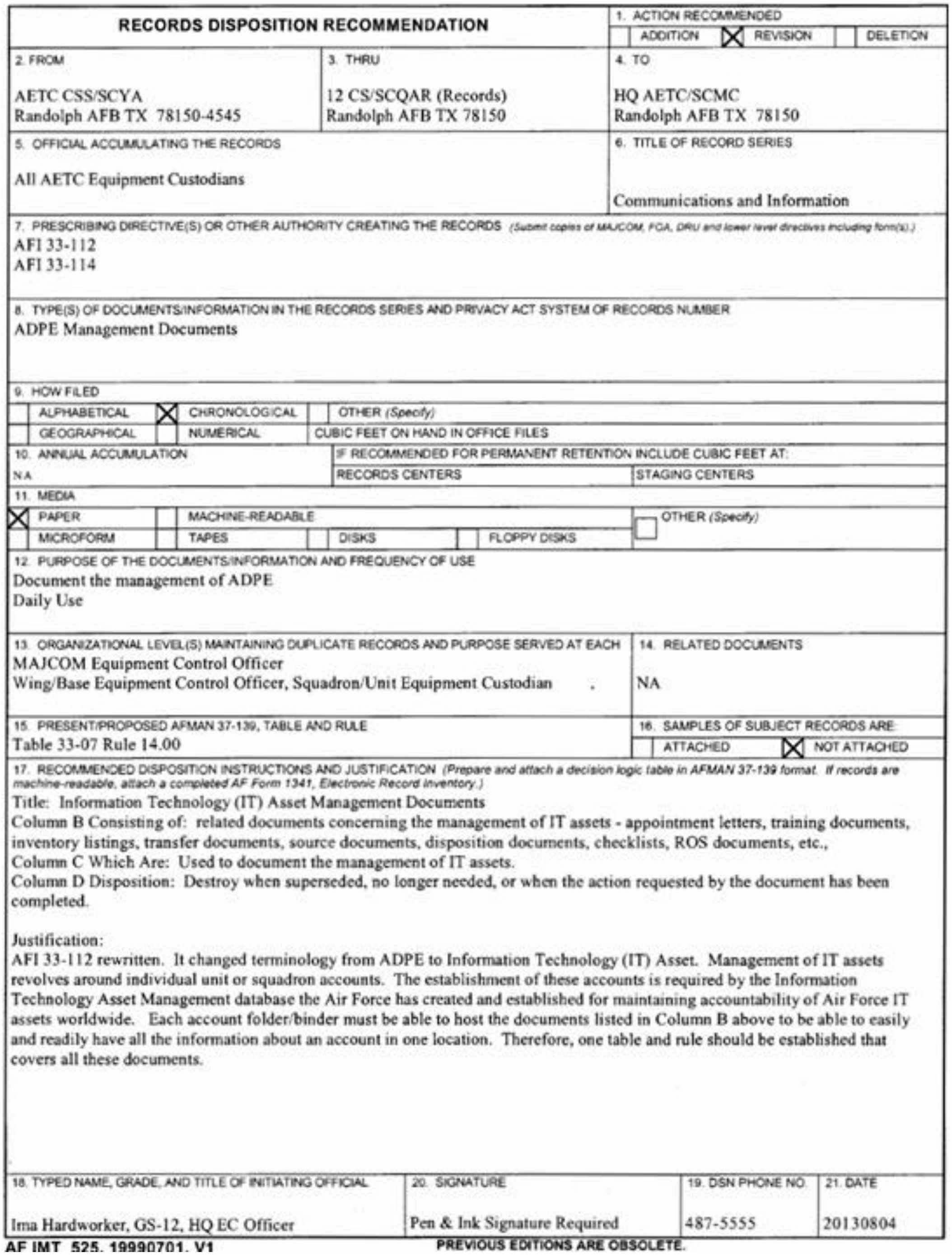
6.13.2. Substantiate that security procedures for the ERK system prevent anyone from making changes or deletions to a record the System Manager did not authorize and that security procedures protect against power interruptions.

6.13.3. Identify the electronic media that stored the records throughout their life cycle, the maximum time the e-records remain on each storage medium, and the disposition from the RDS for all e-records. Document system operational status to e-record system malfunctions. To the maximum extent practicable, ensure personal identifiers are recorded for personnel who review, revise, or otherwise affect document content. Coordinate items in this paragraph and in **6.13.1** and **6.13.2** with records management and legal personnel.

6.14. Security of Electronic Records (E-Records). Instructions on steps required prior to reusing magnetic media that have stored classified records are in AFSSI 5020, (FOUO) *Remanence Security*.

6.15. Web Records and Web Pages. Web Records and Web Pages require life-cycle management according to the Air Force RDS. The web author (person who provides the information to the web master) must provide the organization's record professional a monthly index of the disposition, date, and title of each record on the web site. The record professional will identify the record location on the file plan, perform periodic reviews for record management life-cycle requirements, and report discrepancies and lost records (AFI 33-364). Web authors will prepare an AF Form 525, *Records Disposition Recommendation* (see **Figure 6.2**, **Figure 6.3**, **Table 6.1** and AFI 33-364), for unscheduled records on the Web. Publish the web author and page master name and contact information to provide users record dispositions when a web page contains records with multiple dispositions.

Figure 6.2. Sample of AF Form 525, *Records Disposition Recommendation* (Front).



RECORDS DISPOSITION RECOMMENDATION

1. ACTION RECOMMENDED
☐ ADDITION ☒ REVISION ☐ DELETION

2. FROM
AETC CSS/SCYA
Randolph AFB TX 78150-4545

3. THRU
12 CS/SCQAR (Records)
Randolph AFB TX 78150

4. TO
HQ AETC/SCMC
Randolph AFB TX 78150

5. OFFICIAL ACCUMULATING THE RECORDS
All AETC Equipment Custodians

6. TITLE OF RECORD SERIES
Communications and Information

7. PRESCRIBING DIRECTIVE(S) OR OTHER AUTHORITY CREATING THE RECORDS *(Submit copies of MAJCOM, FOA, DRU and lower level directives including form(s).)*
AFI 33-112
AFI 33-114

8. TYPE(S) OF DOCUMENTS/INFORMATION IN THE RECORDS SERIES AND PRIVACY ACT SYSTEM OF RECORDS NUMBER
ADPE Management Documents

9. HOW FILED
☐ ALPHABETICAL ☒ CHRONOLOGICAL ☐ OTHER *(Specify)*
☐ GEOGRAPHICAL ☐ NUMERICAL CUBIC FEET ON HAND IN OFFICE FILES

10. ANNUAL ACCUMULATION
NA

IF RECOMMENDED FOR PERMANENT RETENTION INCLUDE CUBIC FEET AT:
RECORDS CENTERS
STAGING CENTERS

11. MEDIA
☒ PAPER ☐ MACHINE-READABLE ☐ OTHER *(Specify)*
☐ MICROFORM ☐ TAPES ☐ DISKS ☐ FLOPPY DISKS

12. PURPOSE OF THE DOCUMENTS/INFORMATION AND FREQUENCY OF USE
Document the management of ADPE
Daily Use

13. ORGANIZATIONAL LEVEL(S) MAINTAINING DUPLICATE RECORDS AND PURPOSE SERVED AT EACH
MAJCOM Equipment Control Officer
Wing/Base Equipment Control Officer, Squadron/Unit Equipment Custodian .

14. RELATED DOCUMENTS
NA

15. PRESENT/PROPOSED AFMAN 37-139, TABLE AND RULE
Table 33-07 Rule 14.00

16. SAMPLES OF SUBJECT RECORDS ARE
☐ ATTACHED ☒ NOT ATTACHED

17. RECOMMENDED DISPOSITION INSTRUCTIONS AND JUSTIFICATION *(Prepare and attach a decision logic table in AFMAN 37-139 format. If records are machine-readable, attach a completed AF Form 1341, Electronic Record Inventory.)*

Title: Information Technology (IT) Asset Management Documents
Column B Consisting of: related documents concerning the management of IT assets - appointment letters, training documents, inventory listings, transfer documents, source documents, disposition documents, checklists, ROS documents, etc.,
Column C Which Are: Used to document the management of IT assets.
Column D Disposition: Destroy when superseded, no longer needed, or when the action requested by the document has been completed.

Justification:
AFI 33-112 rewritten. It changed terminology from ADPE to Information Technology (IT) Asset. Management of IT assets revolves around individual unit or squadron accounts. The establishment of these accounts is required by the Information Technology Asset Management database the Air Force has created and established for maintaining accountability of Air Force IT assets worldwide. Each account folder/binder must be able to host the documents listed in Column B above to be able to easily and readily have all the information about an account in one location. Therefore, one table and rule should be established that covers all these documents.

18. TYPED NAME, GRADE, AND TITLE OF INITIATING OFFICIAL
Ima Hardworker, GS-12, HQ EC Officer

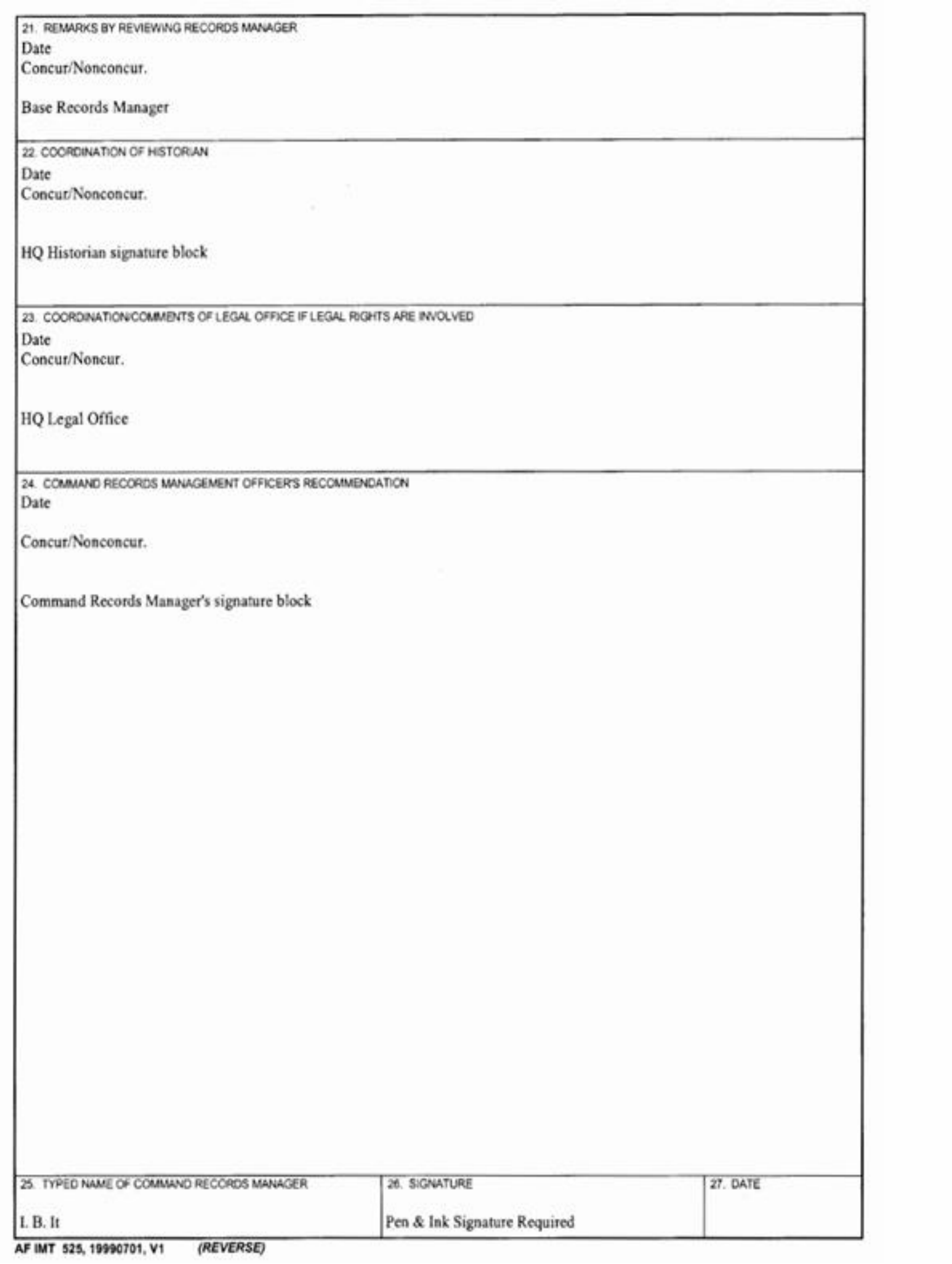
20. SIGNATURE
Pen & Ink Signature Required

19. DSN PHONE NO.
487-5555

21. DATE
20130804

AF IMT 525, 19990701, V1 PREVIOUS EDITIONS ARE OBSOLETE.

Figure 6.3. Sample of AF Form 525, *Records Disposition Recommendation* (Reverse).



21. REMARKS BY REVIEWING RECORDS MANAGER
Date
Concur/Nonconcur.

Base Records Manager

22. COORDINATION OF HISTORIAN
Date
Concur/Nonconcur.

HQ Historian signature block

23. COORDINATION/COMMENTS OF LEGAL OFFICE IF LEGAL RIGHTS ARE INVOLVED
Date
Concur/Noncur.

HQ Legal Office

24. COMMAND RECORDS MANAGEMENT OFFICER'S RECOMMENDATION
Date

Concur/Nonconcur.

Command Records Manager's signature block

25. TYPED NAME OF COMMAND RECORDS MANAGER	26. SIGNATURE	27. DATE
I. B. It	Pen & Ink Signature Required	

AF IMT 525, 19990701, V1 *(REVERSE)*

Table 6.1. Sample of Decision Logic Table to Accompany AF Form 525.

TABLE 6.1				
CONTRACTING				
	A	**B**	**C**	**D**
RULE	**If the records are or pertain to**	**consisting of**	**which are**	**Then**
1	General Contract Case Files - $100,000 or Less/Construction $2,000 or less	Contracts, requisitions, purchase order, lease and bond surety records including correspondence and related papers pertaining to award, administration; receipt, inspection and payment; and other records prescribed in the Federal Acquisition Regulation 48 CFR 4.805; contracting or purchase organization copy and related papers for internal audit purposes	transactions of $100,000 or less and construction contracts of $2,000 or less	Destroy 3 years after final payment. AUTH: General Records Schedule (GRS)3, Item 3a(2)
2	General Contract Case Files – Over $100,000/Construction of Over $2,000		Transactions of more than $100,000 and all construction contracts over $2,000	Destroy 6 years and 3 months after final payment. AUTH: GRS3, Item3a (1)

6.15.1. Non-Web Records. Previous versions of a Web page that do not qualify as records are defined as "non-record" material and should be overwritten or deleted from the system within 30 days of the final posting of the updated version of the Web page. Submit requests for waivers or exceptions to the AFRO through the base and CRM or ARM.

6.16. Duplicate Records on Mixed Media. When records are duplicated on different media, the COR must determine which medium has the official record and ensure the official record is managed according to the appropriate records management instruction. Record copies are disposed of when no longer needed.

6.17. Records Integration. Electronic records may be integrated with those on other media. Limit use of mixed media (e.g., paper and diskette) for parts of the same records. Where similar records that would normally be grouped together (i.e., as for a case file) are on mixed media, provide for as much integration of the records as possible or practical by converting all the records to a single media (e.g., all paper or all electronic). Digitize incoming paper records by using scanners that save the documents in a PDF if signature authentication is not critical. Merge scanned records with their related electronic records. If appropriate, print e-records or convert to some other medium. However, keep scanned documents to a minimum due to the disk space of scanned documents.

6.18. Cross-Referencing. When necessary to keep related documents in two or more places or on two or more media, cross-reference the records to the related stored records on different media. Identify all e-records and their location on the file plan.

6.19. Appropriate Storage Media for Electronic Records (E-Records). Factors that influence information loss on magnetic media include the variety of materials used by magnetic media manufacturers; media storage and handling conditions; media usage; frequency of use, and changing technology. Where less than optimal conditions prevail, loss of all or part of the record is possible. The COR must perform a risk assessment to determine the appropriate medium for storage wherever records loss is at issue, especially records in deployed locations.

6.20. Retention Standards. The functional OPR of any system outside an ERK solution, such as AISs that manage records, must make provisions to retain the e-records and their documentation for as long as the Air Force needs them. These ERK systems must be approved by the AFRO and NARA.

6.21. Schedule Disposition. Schedule the disposition of all e-records as well as related documentation and indexes. Records dispositions covering paper records also cover e-records in the same series. However, if the e-records are unscheduled, the functional OPR for the system must submit an AF Form 525 to the BRM (including those operated for the Air Force and Unified and Specified Commands by a contractor) not later than one year after implementing the ERK system.

6.22. Setting Up Official Electronic Records (E-Records). Until there is an Air Force-approved Records Management Application for records that have a non-permanent disposition, use the latest version of the Air Force ERM Solution document (**https://afrims.amc.af.mil/web_links.cfm**). Bases, MAJCOMs, DRUs, and FOAs currently using their own integrations of recordkeeping systems must prepare for transitioning into the Air Force-approved Records Management Application.

6.23. Scheduling Planned or Operational Systems. OPRs schedule information in each system in a comprehensive manner by including data sets and files in the system; source documents and outputs; the processing subset and special format files the system creates and uses; and system documentation and data descriptions. OPRs also establish disposition instruction for each of these components in light of the overall system. If the RDS does not contain an authorized disposition, the functional OPR must submit an AF Form 525 through records management channels.

6.24. Destroying Electronic Records (E-Records). The record professional destroys e-records according to authorized dispositions and ensures that the record is disposed of in a manner that protects any sensitive, proprietary, or national security information.

6.25. Transferring Electronic Records (E-Records) to National Archives and Records Administration (NARA). NARA accepts transfer copies of e-records, related documentation, and indexes at the times specified in the RDS. Transfer may take place at an earlier date if convenient for both Air Force and NARA. NARA accepts e-records in three types of transfer media: magnetic tape, CD-ROM and file transfer protocol (FTP). Transfer permanent e-records to NARA as soon as possible.

6.25.1. Formats to Transfer E-Records. Transfer e-records to NARA in a format that is not dependent on specific hardware or software, written in American Standard Code for Information Interchange (ASCII) or Extended Binary-Coded Decimal Interchange Code (EBCDIC) with all extraneous control characters removed (except record length indicators for variable length records, marks delimiting a data element, field, record or file, or Standard Generalized Markup Language tags). Do not compress records unless pre-approved by NARA. Transfer data files and databases as flat files or as rectangular tables, that is, as two-dimensional arrays, lists or tables. All records in a relational database should have the same logical format. Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items. Transfer documentation in electronic format as separate files; the transfer format standards for e-records apply to documentation files.

6.25.2. Use SF 258, *Agreement to Transfer Records to the National Archives of the United States*. The OPR prepares and sends the SF 258 and AF Form 1341 through the BRM and CRM to Air Force Records Office (**AF.Records@pentagon.af.mil**) for AFRO approval and signature prior to transferring files to NARA. Additional guidance on transferring permanent e-records is found on NARA's web site **http://www.archives.gov**.

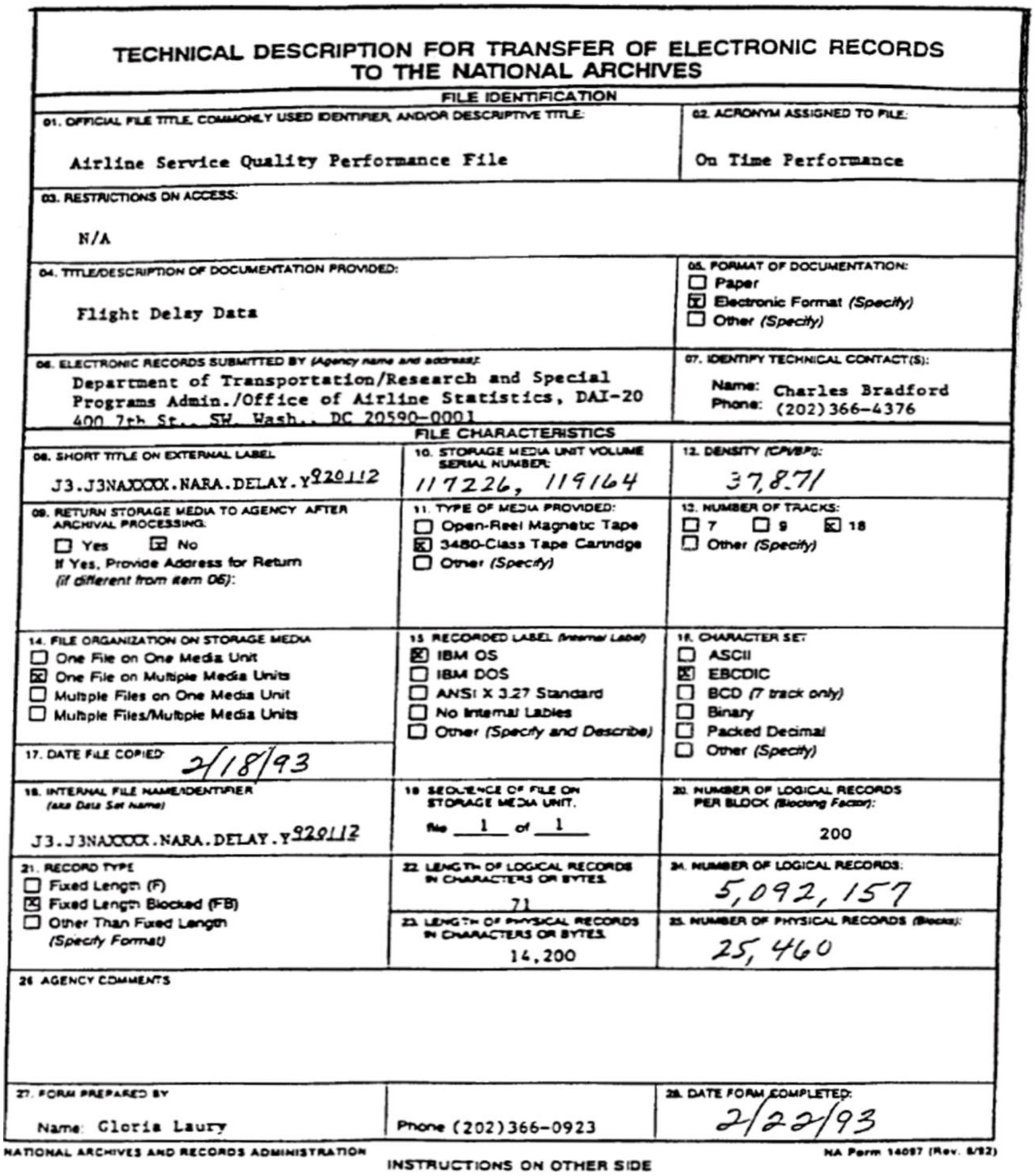
6.25.3. Transfer of Magnetic Tape. Agencies may transfer e-records to NARA on magnetic tape using either open-reel magnetic tape or tape cartridges. Open-reel tape should be on one-half inch 9-track tape reels recorded at 1600 or 6250 bytes per inch and blocked no higher than 32,760 bytes per block. Tape cartridges may be 18-track 3480-class cartridges recorded at 37,871 bits per inch and blocked at no more than 32,760 bytes per block, or DLT tape IV cartridges that must be recorded in an uncompressed format.

6.25.4. Transfer of Compact Disk-Read Only Memory (CD-ROM). CD-ROMs may be used as transfer media for fielded data files or text files if they: conform to the International Organization for Standardization 9660 standard and to ASCII; are not compressed unless NARA has approved the transfer of the compressed form in advance; and are individually addressable. The CD-ROMs may contain software files and temporary records, but permanent records must be in files that contain only permanent records.

6.25.5. File Transfer Protocol (FTP). Use FTP to transfer e-records scheduled for preservation into NARA. Review 36 CFR 1228.270 (c)(3), available at **http://www.archives.gov/about/regulations/part-1228/l.html** for specific requirements related to FTP transfers.

6.25.6. Servicing Documentation. When transferring records to NARA, the OPR sends adequate servicing documentation sufficient to support the use of the records for secondary analysis. Include specific information on how the media was written, identification and the definition of data sets transferred, record layouts with their relative positions, completed AF Form 1341 with a data dictionary that defines all data elements, code books for unique codes in the records, and completed National Archives (NA) Form 14097, *Technical Description for Transfer of Electronic Records to the National Archives* (see **Figure 6.4**), available at **http://www.archives.gov/records-mgmt/initiatives/transfer-records-to-nara.html**.

Figure 6.4. **Sample NA Form 14097,** ***Technical Description for Transfer of Electronic Records to the National Archives.***



TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS
TO THE NATIONAL ARCHIVES

FILE IDENTIFICATION

01. OFFICIAL FILE TITLE, COMMONLY USED IDENTIFIER, AND/OR DESCRIPTIVE TITLE: Airline Service Quality Performance File

02. ACRONYM ASSIGNED TO FILE: On Time Performance

03. RESTRICTIONS ON ACCESS: N/A

04. TITLE/DESCRIPTION OF DOCUMENTATION PROVIDED: Flight Delay Data

05. FORMAT OF DOCUMENTATION:
☐ Paper
☒ Electronic Format *(Specify)*
☐ Other *(Specify)*

06. ELECTRONIC RECORDS SUBMITTED BY *(Agency name and address)*:
Department of Transportation/Research and Special
Programs Admin./Office of Airline Statistics, DAI-20
400 7th St., SW, Wash., DC 20590-0001

07. IDENTIFY TECHNICAL CONTACT(S):
Name: Charles Bradford
Phone: (202)366-4376

FILE CHARACTERISTICS

08. SHORT TITLE ON EXTERNAL LABEL: J3.J3NAXXXX.NARA.DELAY.Y920112

10. STORAGE MEDIA UNIT VOLUME SERIAL NUMBER: 117226, 119164

12. DENSITY (CPI/BPI): 37,871

09. RETURN STORAGE MEDIA TO AGENCY AFTER ARCHIVAL PROCESSING:
☐ Yes ☒ No
If Yes, Provide Address for Return *(if different from item 06)*:

11. TYPE OF MEDIA PROVIDED:
☐ Open-Reel Magnetic Tape
☒ 3480-Class Tape Cartridge
☐ Other *(Specify)*

13. NUMBER OF TRACKS:
☐ 7 ☐ 9 ☒ 18
☐ Other *(Specify)*

14. FILE ORGANIZATION ON STORAGE MEDIA
☐ One File on One Media Unit
☒ One File on Multiple Media Units
☐ Multiple Files on One Media Unit
☐ Multiple Files/Multiple Media Units

17. DATE FILE COPIED: 2/18/93

15. RECORDED LABEL *(Internal Label)*
☒ IBM OS
☐ IBM DOS
☐ ANSI X 3.27 Standard
☐ No Internal Lables
☐ Other *(Specify and Describe)*

16. CHARACTER SET
☐ ASCII
☒ EBCDIC
☐ BCD *(7 track only)*
☐ Binary
☐ Packed Decimal
☐ Other *(Specify)*

18. INTERNAL FILE NAME/IDENTIFIER *(aka Data Set Name)*: J3.J3NAXXXX.NARA.DELAY.Y920112

19. SEQUENCE OF FILE ON STORAGE MEDIA UNIT. File 1 of 1

20. NUMBER OF LOGICAL RECORDS PER BLOCK *(Blocking Factor)*: 200

21. RECORD TYPE
☐ Fixed Length (F)
☒ Fixed Length Blocked (FB)
☐ Other Than Fixed Length *(Specify Format)*

22. LENGTH OF LOGICAL RECORDS IN CHARACTERS OR BYTES: 71

24. NUMBER OF LOGICAL RECORDS: 5,092,157

23. LENGTH OF PHYSICAL RECORDS IN CHARACTERS OR BYTES: 14,200

25. NUMBER OF PHYSICAL RECORDS *(Blocks)*: 25,460

26. AGENCY COMMENTS

27. FORM PREPARED BY
Name: Gloria Laury
Phone (202)366-0923

28. DATE FORM COMPLETED: 2/22/93

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NA Form 14097 (Rev. 8/92)

INSTRUCTIONS ON OTHER SIDE

6.26. Retirement to the Federal Record Centers (FRC). Organizations have authority to store magnetic tapes in FRCs that have heat and humidity-controlled storage. The functional OPR is responsible for retrieving, inspecting and returning tapes to the FRC. Inspections are required when there is a significant event, technology enhancement or record search.

6.27. Prescribed Forms. *AF Form 1341, Electronic Record Inventory,* AF Form 614, *Charge Out Record*; and AF Form 614A, *Charge Out Record* (8 X 5).

6.28. Adopted Forms. NA Form 14097, *Technical Description for Transfer of Electronic Records to the National Archives*; DD Form 2861, *Cross-Reference*; AF Form 525, *Records Disposition Recommendation*; AF Form 847, *Recommendation for Change of Publication*; SF 115, *Request for Records Disposition Authority*; SF 135, *Records Transmittal and Receipt*; SF 258, *Agreement to Transfer Records to the National Archives of the United States*; SF 706, *Top Secret ADP Media Classification Label*; SF 707, *Secret ADP Media Classification Label*; and SF 708, *Confidential ADP Media Classification Label*

MICHAEL W. PETERSON, Lt Gen, USAF
Chief of Warfighting Integration and Chief
Information Officer

(482FW)

DONALD R. LINDBERG, Colonel, USAFR
Commander, 482d Fighter Wing

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

EO 12958, Classified National Security Information, April 17, 1995

Title 36, CFR, Chapter XII, Subchapter B

Title 36, CFR, Chapter XII, Part 1228, Subpart L, § 270(C)(3)

Title 36, CFR, Chapter XII, Part 1234

Title 36, CFR, Chapter XII, Part 1236

Title 44, USC, Chapter 19, § 1901

Title 44, USC, Chapter 33, § 3301

Title 48, CFR, Part 4, Paragraph 4.805

DoDD 5015.2, *DoD Records Management Program*, March 6, 2000

DoDI 5000.2, *Operation of the Defense Acquisition System*, May 12, 2003

DoD 5015.02-STD, *Electronic Records Management Software Applications Design Criteria Standard*, April 25, 2007

DoD 5200.1-R, *Information Security Program*, January 14, 1997

DoDR 5400.7/AFSUP, *DoD Freedom of Information Act Program*, 24 June 2002

AFPD 31-4, *Information Security*, 1 September 1998

AFPD 33-3, *Information Management*, 28 March 2006

AFI 10-2501, *Air Force Emergency Management (EM) Program Planning and Operations*, 24 January 2007 *(formerly known as the Full Spectrum Threat Response program)*

AFI 33-202, Volume 1, *Network and Computer Security*, 3 February 2006 (Incorporating Through Change 5, 18 May 2007)

AFI 33-322, *Records Management Program*, 7 October 2003

AFI 33-332, *Privacy Act Program*, 29 January 2004

AFI 33-360, Publications and Forms Management, 18 May 2006 (Incorporating Through Change 2, 17 July 2007)

AFI 33-364, *Records Disposition--Procedures and Responsibilities*, 22 December 2006

AFVA 33-276, *Air Force Privacy Act Label*

AFSSI 5020, *(FOUO) Remanence Security*, 17 April 2003 (will become AFMAN 33-224)

AIR FORCE ELECTRONIC RECORDS MANAGEMENT (ERM) SOLUTION, Version 7.4, 4 Sep 2007 *(current version posted on the Air Force Records Management Community of Practice at* **https://afkm.wpafb.af.mil/ASPs/CoP/OpenCoP.asp?Filter=OO-SC-EI-M4**

AFRIMS RDS **https://afrims.amc.af.mil/rds_series.cfm**

Abbreviations and Acronyms

AFI—Air Force Instruction

AFRO—Air Force Records Officer

AFPD—Air Force Policy Directive

AFRIMS—Air Force Records Information Management System

AFVA—Air Force Visual Aid

AIS—Automated Information Systems

AO—Action Officer

AOR—Area of Responsibility

ARM—Agency Record Managers

ASCII—American Standard Code for Information Interchange

BRM—Base Records Manager

CD—Compact Disk

CD-I—Compact Disk-Interactive

CD-ROM—Compact Disk-Read Only Memory

CFR—Code of Federal Regulations

COR—Chief of the Office of Record

CRM—Command Records Manager

CSA—Client Support Administrator

DoD—Department of Defense

DoDD—Department of Defense Directive

DoDI—Department of Defense Instruction

DoDR—Department of Defense Regulations

DRU—Direct Reporting Unit

DVD—Digital Versatile Disk

e-file—Electronic File

E-mail—Electronic Mail

e-records—Electronic Records

EBCDIC—Extended Binary-Coded Decimal Interchange Code

EIM—Enterprise Information Management

EO—Executive Order

ERK—Electronic Record Keeping

ERM—Electronic Records Management

ESI—Electronically Stored Information

FARM—Functional Area Records Manager

FOA—Field Operating Agency

FOUO—For Official Use Only

FRC—Federal Records Center

FRCP—Federal Rules of Civil Procedure

FRD—Formerly Restricted Data

FTP—File Transfer Protocol

(Added-482FW) FW—Fighter Wing

GPEA—Government Paperwork Elimination Act

GRS—General Records Schedule

HQ AFCA—Headquarters Air Force Communications Agency

MAJCOM—Major Command

(Added-482FW) MSG—Mission Support Group

NA—National Archives (Form)

NARA—National Archives and Records Administration

NCC—Network Control Center

NLT—Not Later Than

OPR—Office of Primary Responsibility

PA— *Privacy Act*

PDF—Portable Document Format

(Added-482FW) PMO—Program Management Office

(Added-482FW) QAE—Quality Assurance Evaluator

RC—Records Custodian

RD—Restricted Data

RDS—Records Disposition Schedule

RM—Records Manager

RO—Records Officer

RP—Record Professional

SAF—Secretary of the Air Force

SAN—Storage Area Network

SAV—Staff Assistance Visit

SF—Standard Form

USC—United States Code

WORM—Write Once Read Many

Terms

Access—The availability of, or the permission to consult; records the ability or opportunity to obtain security classified or administratively controlled information or records.

Accession—(1) The transfer of the legal and physical custody of permanent records from the Air Force to the National Archives. (2) The transfer of Air Force records to an FRC for temporary storage. The Air Force retains legal custody of the records. (3) The records so transferred; also called accessioned records.

Action Copy—The copy of a document sent to the agency, office, or individual responsible for taking action.

Adequate and Proper Documentation—A record of the conduct of U.S. Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency; and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

Administratively Controlled Information—Privileged or other non-security classified information in records sometimes bearing designations, such as "FOUO," to prevent its unauthorized disclosure.

Agency Records—Documentary materials of an executive agency that based on Federal case law are subject to the *Freedom of Information Act* (DoDR 5400.7/AFSUP, *DoD Freedom of Information Act Program*).

Agency Records Manager—Records Manager at FOAs and DRUs

American Standard Code for Information Interchange (ASCII)—(1) The standard representation of numbers and letters by computers other than International Business Machines™ (see also EBCDIC). (2) A binary code representing each letter, number, or other symbol with a unique 7-bit code.

Application—A specific use of computer, micrographic, or other information technology, such as in payroll or inventory control.

Appraisal—The process of determining the value and thus the final disposition of a record, making it either temporary or permanent (Federal Records Management Glossary). NARA is the only Federal agency with the authority to appraise government records.

Archive—(1) The non-current records of an agency or institution preserved because of their permanent value. (2) The agency responsible for selecting, preserving, and making available archival materials.

Archives—(1) The non-current records of an organization preserved because of their continuing, or enduring, value. "National Archives of the United States" means those records that have been determined by the Archivist of the U. S. to have sufficient historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the Archivist's legal custody. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records; also called archival agency. In the U.S. Government, it's NARA. (3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency; also called archival depository or archival repository.

Archiving—The process of creating a backup copy of computer files, especially for long-term storage, of e-records.

Archivist—A person responsible for or engaged in one or more of the functions listed under archives.

Arrangement—The process and results of organizing archives, records, and manuscripts in accordance with accepted archival principles.

Audiovisual Records—Records in pictorial or aural form. Include still and motion pictures, graphic materials such as posters and original art, audio and video recordings, and combinations of media such as slide-tape productions.

Air Force Records Officer (AFRO)—Appointed by the Air Force Chief Information Officer (CIO) to direct the Air Force Records Program and all associated activities.

Automated Information System (AIS)—Any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data (including software, firmware, and hardware). Also included are computers, word processing systems, networks, other electronic information handling systems, and associated equipment. Often used as a synonym for an e-records system.

Block—(1) One or more chronological segments of cut off, or closed, records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to the National Archives. For example, a transfer of records in 5-year blocks. (2) In e-records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output. (3) The records of an agency, organizational component, or functional area.

Byte—In computer technology, a unit of information for processing in certain kinds of electronic computers equal to one character or eight bits.

Case Files—Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files that are types of case files.

Central Processing Unit—The component of a computer system that interprets and carries out program instructions.

Character—In computer technology: (1) Any symbol, as a number or letter that represents information and, when encoded, is usable by a machine. (2) A pattern of ones and zeros representing the relationship of positive and negative pulses in a computer.

Charge Out—The act and result of recording the removal and loan of a document or file to indicate its location. Usually involves the use of an AF Form 614 or 614A placed in the location from which the document or file was removed that identifies the record (number, title or subject, and date), the person and office charged to, and the date withdrawn.

Classification—(1) The process of determining the sequence or order in which to arrange documents. (2) The process or result of identifying records containing national security information.

Classified Information—Records or information requiring safeguards against unauthorized disclosure for national security reasons.

Code—(1) See “file codes.” (2) In e-records, a set of rules to convert data to a form that computers can process, such ASCII and EBCDIC; also called a computer code. (3) A computer program. (4) A systematically arranged collection of laws or regulations, such as the United States Code or CFR.

Codebook—In e-records, a guidebook identifying and explaining the codes used in a computer file or database.

Coding—(1) The process of putting abbreviated file designations on documents. (2) The process of converting data to a form that a computer can process.

Command Records Manager (CRM)—Records managers at MAJCOMs, FOAs, DRUs and Unified or Specified Commands for which the Air Force is the executive agent.

Compact Disk (CD)—A relatively small optical disk on which text, data, sounds, visual images, and the like can be recorded digitally and then scanned, decoded, and transmitted by a laser beam to a computer monitor, television set, or playback device.

Compact Disk-Interactive (CD-I)—A CD combining audiovisual, text/data, software storage, and retrieval capabilities.

Comprehensive Records Schedule—A schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency or department, or those of a bureau, service, or office within a department; also includes instructions for non-record materials, whose disposition is based on agency needs.

Computer—An electronic device designed to accept data (input), perform prescribed mathematical and logical operations at high speed processing, and supply the results of these operations (output). A digital computer processes data as numbers and includes mainframe computers, minicomputers, and microcomputers. In contrast, an analog computer represents data by measurable quantities, such as voltages.

Computer Program—(1) A systematic plan for the automatic solution of a problem by a computer. (2) A sequence of instructions enabling a computer to solve a problem.

Computer Security—The protection of the information and physical assets of a computer system.

Computer System—A configuration or working combination of hardware, software, and data communication devices.

Copy—(1) A reproduction of the contents of an original document prepared simultaneously or separately and usually identified by function or method of creation. Copies identified by function include action copy, information or reference copy, official file copy, reading or chronological file copy, suspense or tickler file copy, and stock copy. Copies identified by method of creation include carbon copy, electrostatic copy, mimeograph copy, and ribbon copy. (2) In e-records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

Correspondence—Letters, postcards, memorandums, telecommunications, notes, and any other form of addressed, written communications that are sent and received.

Data—Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

Database—(1) A set of data, consisting of at least one data file, that is sufficient for a specific purpose (Chapter XII of Title 36 of the Code of Federal Regulations, Part 1234); (2) In electronic recordkeeping, a set of data, consisting of at least one file or a group of integrated files, usually stored in one location and made available to several users at the same time for various applications (Federal Records Management Glossary: 1989).

Database Management System—A software system used to access, retrieve, and otherwise manage the data in a database (Title 36 of the Code of Federal Regulations, Chapter XII, Part 1234).

Data Element—In electronic record keeping, a combination of characters or bytes referring to one separate item of information, such as name, address, or age (Federal Records Management Glossary: 1989).

Data File—In e- records: (1) An organized collection of data, usually arranged in logical records stored together and treated as a unit by a computer. (2) Related numeric, textual, or graphic information organized in a strictly prescribed form and format (Title 36 of the Code of Federal Regulations, Chapter XII, Part 1234).

Data Field—A specific area of an e-record allocated for a particular category of data, usually one data element, such as a name.

Data Set—A group of related records that are organized and treated as a unit. Also used interchangeably with data file.

Density—(1) In e-records, the compactness of data stored on a computer medium, such as a disk or tape, or displayed on a computer screen. (2) In microform records, the light-absorbing or light reflecting quality of micro-images.

Depository—A place where records are kept and made available for use; also called repository.

Destruction—In records management, the major type of disposal action. Methods include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

Digital—Representation of data as discrete variables in the form of numerical characters, as in a digital clock or digital computer.

Direct Reporting Unit (DRU)—Has a specialized and restricted mission, and is directly subordinate to the Chief of Staff, United States Air Force or to Chief of Staff's representative on the Air Staff.

Directive—A written instruction communicating policy and/or procedure in the form of orders, instructions, bulletins, circulars, handbooks, manuals, notices, numbered memorandums, and similar issuances.

Disposable Records—See "temporary records."

Disposal—Physical destruction of records; not synonymous with disposition. The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation; also, when so specified, the actions taken regarding non-record materials when no longer needed, especially their destruction.

Disposing of—Carrying out disposal, that includes either the destruction or the donation of temporary records but not the transfer of permanent records to the National Archives.

Disposition—The third stage of the records life cycle. The actions taken regarding records no longer needed for current Government business, including transfer to agency storage facilities or FRC, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. (Title 36 of the Code of Federal Regulations, Chapter XII, Part 1234.)

Disposition Authority—(1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the Government Accounting Office. (2) The agency's approval of disposition instructions for non-record materials.

Disposition Instructions—(1) Directions for cutting off records and carrying out their disposition in compliance with NARA's regulations. (2) Directions for screening non-record materials and carrying out their disposal when no longer needed by the agency.

Disposition Schedule—The document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization; also known as a records schedule or retention schedule.

Document—(1) Recorded information regardless of physical form or characteristics. Often used interchangeably with record. (2) An individual record or an item of non-record materials or of personal papers.

Documentary—In audiovisual records: (1) A nonfiction motion picture film having a theme or viewpoint but drawing its material from actual events and using editing and sound to enhance the theme. (2) Still photographs having a theme or viewpoint but showing actual situations realistically.

Documentary Materials—A collective term for records, non-record materials, and personal papers that refers to all media on which information is recorded regardless of the nature, medium, method, or circumstances of recording.

Documentation—(1) The act or process of substantiating by recording actions and/or decisions. (2) Records required for planning, developing, operating, maintaining, and using e-records.

Included are systems specifications, file specifications, codebooks, file layouts, user guides, and output specifications.

Donation—(1) In records management, the transfer of temporary records from a Federal agency to an eligible person or organization after the authorized retention period has expired. NARA's approval is required. (2) In archives administration, the transfer from private sources to the National Archives of documents, including audiovisual materials, appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

Duplicate—A copy of a paper document, microform, magnetic tape, or disk.

Electronic Mail (E-mail)—The process or result of sending and receiving messages in electronic form via remote computer terminals.

Electronic Record Keeping (ERK)—The creation, maintenance and use, and disposition of records created and stored by using a computer.

Electronic Records (E-Records)—Records stored in a form that only a computer can process; also called machine-readable records or automated data processing records.

Electronic Recordkeeping System—An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

Electronically Stored Information (ESI)—Includes any digital information, draft and final records and non-record materials, stored in a medium from which it can be retrieved and used. Common sources are E-mail, working papers, drafts, duplicates, copies and contract records.

Emergency Operating Records—Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency.

Evaluation—(1) In records disposition, the process of assessing the value of records to recommend or determine their retention periods, making the records either temporary or permanent. See also "appraisal." (2) The inspection, audit, or review of records management programs, either by the agency or by NARA and/or General Services Administration, to ensure compliance with applicable laws and regulations.

Executive Agency—Any executive department or independent establishment in the executive branch of the U.S. Government, including any wholly owned Government corporation.

Federal Agency—Any executive agency or any establishment in the legislative or judicial branch of the U.S. Government, excepting the Supreme Court, Senate, House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction.

File—(1) Usually an accumulation of records or non-record materials arranged according to a plan. Sometimes an accumulation of personal papers so arranged. (2) A unit (such as a folder, microform, or electronic medium) containing such records, non-record materials, or personal papers. (3) Storage equipment, such as a filing cabinet.

File Codes—Numbers or symbols used to abbreviate lengthy file titles.

File Designation—A distinguishing symbol, subject, name, number, or date controlling the placement of a document in a filing system.

File Layout—In e-records, the arrangement and structure of data in a file including the sequence and size of its components.

File Plan—(1) A plan designating the physical location(s) where an agency's files will be maintained, the specific types of files, and the organizational element(s) having custodial responsibility. (2) A document containing the identifying number, title or description, and disposition authority of files held in an office.

Files Custodian—The individual responsible for physical custody, maintenance, and disposition of records accumulated in the performance of a particular function. The directorate/separate office/activity records officer designates the files custodian in designating the directorate "office of record." Depending upon the size and complexity of the directorate, the RM may elect to designate more than one office of record/files custodian for the records it holds.

Field Operating Agency (FOA)—A subdivision that carries out activities under the operational control of a headquarters Air Force functional manager.

Form—A document with a fixed arrangement of captioned spaces designed for entering and extracting prescribed information. Categories of forms include internal, interagency, public use, standard, and optional.

Format—(1) The shape, size, style, and general makeup of a particular record. (2) In e-records, the arrangement of data for computer input or output, such as the number and size of data fields in a logical record or the spacing and letter size used in a document; also called layout.

Function—The characteristic action or purpose of an organization or person.

Functional Area Records Manager (FARM)—The point of contact for a unit that monitors the Records Management Program within his or her functional area.

General Correspondence Files—Records arranged and filed according to their general informational or subject, content consisting mainly of letters and memorandums but also forms, reports, and other material relating to program and administrative functions, but not to specific cases; also called central, correspondence, or subject files.

Hard Copy—(1) Recorded information copied from a computer onto paper or some other durable surface, such as microfilm, distinguished from a temporary image on a display screen and from the electronic information on a magnetic tape or disk(ette) or in the computer's main memory. (2) Recorded information copied from microfilm onto paper and made readable without a special device. (3) A paper record that may later be filmed or digitized.

Hardware—A computer system's physical equipment, including the central processing unit, control unit, memory, input/output devices, and storage devices.

Hierarchical System—Any classification system in which records are arranged under primary (first-level) categories and then, as necessary, under secondary (second-level) and further subdivisions.

Historical (Transaction) File—(1) A file containing relatively transient data that, for a given application, is processed together with the appropriate master file (American National Dictionary for Information Processing Systems). (2) A file of accumulated data from previous transactional updates the OPR keeps separately for historically purposes. A valid file of items the OPR uses with the master data input file to create a master data output file. A file identical in format and content to a master file the OPR keeps separately for security backup, historical or similar purposes.

Historical Value—The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

History Files—E-files copied from inactive master files for long-term or permanent retention.

Image—(1) A representation of information produced by radiant energy such as light. (2) A unit of information, such as a drawing of a page of text. (3) An object's optical counterpart produced by a lens, mirror, or other optical system.

Inactive Storage Facility—General term for any storage facility/space used to house/store inactive records (both permanent and temporary) until the records are eligible for destruction or transfer to NARA. The facility/space can be located within the agency's current files area, but separate from the active files, or it may be an agency records center or holding area, or an FRC.

Index—(1) A separate collection of cards, extra copies of documents, cross-reference sheets, or other forms arranged differently from the related record series to make it easier to locate relevant documents. (2) A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant files.

Information—Facts or data communicated or received.

Information Copy—A non-record copy sent to individuals or offices interested in, but not acting on, a matter.

Information Management—The administration, use, and transmission of information and the application of theories and techniques of information science to create, modify, or improve information handling systems.

Information System—The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual; also called a record system or a system. Most often refers to a system containing e-records that involves input or source documents, records on electronic media, and output records along with related documentation and any indexes.

Informational Value—The usefulness of records in documenting the persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency's organization, functions, and activities. Considered by NARA in appraising records for permanent retention.

Input—In e-records and/or data to be entered into a computer for processing.

Integration—In e-records: (1) combining various pieces of hardware and software, often acquired from different vendors, into a unified system. (2) Combining computer programs into a unified software package so that all programs can share common data.

Inventory—(1) A survey of agency records and non-record materials conducted primarily to develop records schedules and also to identify various records management problems such as improper applications of record keeping technology. (2) The results of such a survey. (3) In archives administration, a type of finding aid for accessioned permanent records.

Item—(1) A document. (2) A separately numbered entry describing records on an SF 115, *Request for Records Disposition Authority*. Usually consists of a record series or part of an information system.

Life Cycle Of Records—The management concept that records pass through three stages: creation, maintenance and use, and disposition.

Machine-Readable Records—Records whose informational content is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched cards, optical disks or tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine. See "electronic records."

Major Command Records Manager (CRM)—The position designated by the MAJCOM commander to administer the Command Records Management Program for all records in the command. Host/tenant support agreements are usually established to coordinate assistance when necessary.

Master Files—In e-records, relatively long-lived computer files containing an organized and consistent set of complete and accurate data. Usually updated periodically.

Media or Medium—The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information is recorded.

Memorandum—A written communication much like a letter but having no salutation or complimentary ending. Usually used within or between offices of the same organization.

Microcomputer—Very small digital computer able to process and store less data than a minicomputer and far less than a mainframe and does so less rapidly than a minicomputer or a mainframe. Includes desktop, laptop, and hand-held models; also called a personal computer.

Microfiche—A card-sized transparent sheet of film with miniaturized images (micro-images) arranged in a grid pattern. Usually contains a title readable without a magnifying device. Fiche is an appropriate abbreviation.

Microform—Any form containing greatly reduced images, or micro-images, usually on microfilm. Roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes. Flat, or generally unitized, microforms include microfiche, microfilm jackets, aperture cards, and micro-cards (micro-opaques).

National Archives—See "archives."

National Archives and Records Administration (NARA)—This agency is responsible for appraising, accessioning, preserving, and making available permanent records.

National Archives Form 14097, "Technical Description for Transfer of Electronic Records to the National Archives"—This form may be used to provide information to accompany the transfer of permanent e-records to the National Archives. This information was formerly provided on SF 217, *Computer Magnetic Tape File Properties*, that is discontinued.

Non-Record Materials—U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition; also called non-record copies or non-records.

Offer—A term formerly used to describe the act of requesting NARA's one-time approval of the immediate transfer of unscheduled records to the National Archives ("direct offer") or the act of initiating the transfer to the National Archives of records already scheduled as permanent ("scheduled offer"). Direct offers have been discontinued, and scheduled offers are now called scheduled transfers.

Office of Record—The office within a directorate/separate office/activity that is designated by the directorate records officer as responsible for the custody, maintenance, and retirement or disposal of the records it holds. Depending upon the size and complexity of the directorate, the records officer may elect to designate more than one office of record for the records it holds.

Official Files—See "records."

Official Record Copy—See "copy," definition (1), and "records."

Official Records—See "records."

Operating System—Software directing a computer's operation.

Optical Disk—A non-contact, random-access disk typically tracked by optical laser beams and used for mass storage and retrieval of generally digitized text and graphics. It is sometimes called an optical digital disk or optical digital data disk. Types include write once read many (WORM), CD-ROM, compact disk-interactive (CD-I), and erasable optical disks.

Output—In e-records, information transmitted from internal to external units of a computer or to an outside medium.

Output Records—In electronic records, information generated by a computer and placed on an outside medium such as paper, microform, or an electronic storage medium.

Permanent Records—In U.S. Government usage, records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt.

Personal Papers—Papers created solely at the discretion and for the use of an individual.

Privacy Act (PA) of 1974—Federal legislation mandating that personal information about individuals collected by Federal agencies be limited to that which is legally authorized and necessary and that it be maintained in a manner which precludes unwarranted intrusions upon individual privacy.

Privacy Act (PA) System of Records—A group of any records from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to an individual.

Publications—Documents printed or otherwise produced for wide distribution inside or outside an agency. Include annual reports, brochures, pamphlets, posters, books, handbooks, and maps; also include instructional and informational materials in audiovisual form. According to Title 44 U.S.C. 1901, a U.S. Government publication is "informational matter which is published as an individual document at government expense, or as required by law."

Read-Only Optical Media—Provides playback of information mastered onto the media during the manufacturing process. Read only optical media has no recording capabilities and includes:

(1) Laser Disks. 8” and 12” formats that store still or moving video analog images and stereo audio. (2) Compact Disks. 4.75” formats that store digital audio, video, or text, referred to as CD-ROM and DVD (digital video disk).

Record Copy—The file copy created by the action office, complete with coordination, enclosures, or papers related to the action. Such copies are to be specifically identified as the record copy by the creating office.

Record Series—File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use.

Recorded Information—Information placed on a medium, such as paper, CD, or microform, to be available for later retrieval and use.

Record Keeping—The act or process of creating and maintaining records. Assume the need for their proper disposition.

Record Keeping Requirements—Statements in statutes, regulations, or agency directives providing general and specific guidance on records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue record keeping requirements for all activities at all levels and for all media and to distinguish records from non-record materials and personal papers.

Records—According to 44 U.S.C. 3301, the term “includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included.” May also be called Federal records, that exclude Presidential records and records of the U.S. Congress.

Records Center—A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers and NARA-operated FRC.

Records Creation—The first stage of the records life cycle in which records are made (or received) by an office.

Records Disposition Schedule (RDS)—A document providing mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records; also called records disposition schedule, records control schedule, records retention schedule, and disposition schedule, or schedule. Includes the SF 115, GRS, and agency records schedule, that, when completed, becomes a comprehensive records schedule that also contains agency disposition instructions for non-record materials.

Records Maintenance and Use—Any action involving the storage, retrieval, and handling of records kept in offices by or for a Federal agency. This is the second stage of the records life cycle.

Records Management—Managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. (Federal Records Act), also called records administration.

Records Management Application—Commercial-off-the-shelf software that electronically manages the disposition and lifecycle of records.

Records Management Program—A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. The program encompasses the RC, the creation, maintenance and use, and disposition of records regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Record Manager (RM)—The person assigned responsibility for oversight or administration of a command-wide records management program.

Records Officer (RO)—The individual responsible for records management within the Air Force, appointed by the Air Force CIO, also called the AFRO.

Record Professional (RP)—Individual whose area of expertise advances beyond introductory records management. The term record professional encompasses RC, FARM, BRM, CRM, ARM and AFRO. RP skills extend beyond familiarity to intermediate or advanced record management.

Records Retention and Disposition Schedule—See "records disposition schedule."

Reference copies—Organized collections of records used for ready reference when the official, record copy is maintained elsewhere. See "information copy."

Retained records—In NARA's usage, older records in an agency's custody that are scheduled as permanent but overdue for transfer to the National Archives.

Retention Period—The length of time records are to be kept.

Retention Schedule—See "records disposition schedule."

Scanning—The process of converting alphanumeric or graphic information on paper or microforms to picture elements or bit-mapped representation; also called image scanning.

Scheduled Records—Records whose final disposition has been approved by NARA.

Scheduling—The process of developing a document that provides mandatory instructions for what to do with records and non-record materials no longer needed for current Government business.

Series—File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use; also called a record series or a file series. Generally handled as a unit for disposition purposes.

Software—The programs, procedures, and rules used to operate a computer.

Source Documents—Documents containing images and/or data entered into a microform or e-records system; also called source records.

Staging Area—Area used to store records until disposition can be completed.

Telecommunications—The preparation, transmission, communication, or related processing of information by electrical, electromagnetic, electromechanical, or electro-optical means.

Temporary Records—Records approved by NARA for disposal either immediately or after a specified retention period of less than 10 years; also called disposable records or non-permanent records.

Transfer—(1) The act or process of moving records from one location to another, especially from office space to agency storage facilities or an FRC, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation. (2) The records involved in such relocation.

Unscheduled Records—Records whose disposition has not been approved by NARA.

Using Optical Disks to Store Permanent Records—(1) NARA can accession permanent records transferred on CD-ROM using the specifications contained in Title 36 CFR, Chapter XII, Part 1228. However, no permanent records may be destroyed after copying onto an optical disk without NARA's approval. After permanent records have been copied onto an optical disk, they should be transferred to the appropriate inactive storage facility. Joint Staff/combatant command activities seeking authorization to destroy permanent records after copying onto optical disks must submit their requirements through the appropriate Joint Staff/Headquarters Combatant Command RM. The Combatant Command RM coordinates with the AFRO regarding approval of such requests. (2) Analog videodiscs that typically contain photographs are another type of optical disk that can be accessioned by NARA provided **no** interactive software or nonstandard equipment is required to read them. Original photographs appraised as permanent and copied onto a videodisc must be scheduled for transfer to NARA together with a copy of the videodisc. Compact disks used for digital audio playback may be transferred because they use a standard player and require no special software to use.

User Guide—Descriptive and technical documentation prepared for use with a data file.

Value—The usefulness of records in documenting legally enforceable rights or obligations, those of both the Federal Government and of persons directly affected by the agency's activities.

Vital Records—Essential agency records that are needed to meet operational responsibility under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records) as defined by 36 CFR 1236.14, available at **http://www.archives.gov/about/regulations/part-1236.html**.

Attachment 2

INSTRUCTIONS FOR COMPLETING THE STANDARD FORM (SF) 135, RECORDS TRANSMITTAL AND RECEIPT

Item 1: Address for the NARA records center serving your area.

Item 2: Place the original or electronically signed copy of the SF 135 in the first box of the shipment.

Item 3: Name, commercial telephone number and area code, and the E-mail address of the person to contact concerning the records. Approved SF 135s are returned by E-mail.

Item 5: Complete mailing address for the office retiring the records.

Item 6: (a) Record group number assigned to records to be transferred and (b) the last two digits of the current fiscal year. *(Air Force record groups are: 340 – SecAF, 341 – Air Staff; 342 – Command and below; and 461 – Academy.)*

Item 6: (c) In most record centers, the regional staff assigns a sequential number in this column.

Item 6: (d) For transfer and billing purposes, a standard-size box equals one cubic foot.

Item 6: (e) Use to indicate the inclusive range of numbers (e.g., 1-30).

Item 6: (f) Describe the records in sufficient detail to allow records center personnel to verify compliance with the AFRIMS RDS. A *complete* series description includes the closing date (or inclusive dates) of the records, organizational component that created the records when it is other than that in Item 5. This item should include a detailed box-by-box listing, if the records are scheduled for permanent retention, unscheduled, or if disposition instructions indicate sampling or screening of records is necessary. Indicate if the series of records is subject to the ***Privacy Act***. **Note***: SF 135s are public records, information on SFs 135* should not be subject to the *Privacy Act*. Special description requirements apply for certain records and should be stated in item 6f:

> Site Audit Records: State "GAO Site Audit" if the records are so designated by the General Accounting Office and indicate whether the site audit records do or do not pertain to Native Americans.
>
> Non-paper Based Records: These are other than paper records, such as microfilm, engineering drawings (because of the special format), e-records, etc.

Item 6: (g) - Complete this section using one of the following restriction codes:

Code	**Restriction**
Q	Security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use - witnessed disposal not required (specify in column (f))
W	Restricted use - witnessed disposal required (specify in column (f))

N	No restrictions

> ***Unclassified Privacy Act System Records*** - Code ‘W’ should be used for unclassified *Privacy Act* System records. Explain any special restrictions at the bottom of the page, if needed.

Restricted Data (RD) or Formerly Restricted Data (FRD) records - Please add **“E”** to designate RD or FRD records. This must be shown as well as the appropriate classification (Top Secret, Secret, Confidential) set forth in Executive Order (EO) 12958, Classified National Security Information, April 17, 1995. These restriction codes apply to documents pertaining to National Security Information rather than information of a proprietary nature.

> ***Vault-type Storage at Agency Request*** - Use **“A”** code for records that are not national security classified, but vault-type storage is being requested at an additional storage fee.

Item 6: (h) **-** Cite the appropriate schedule identifier and item number in your agency records schedule, job number or the GRS. For accountable officers’ records, cite the appropriate item from GRS 6. Also, use the GRS (36 CFR 1228.42) when dealing with records common to most offices such as contracts, civilian personnel records, travel and transportation records. Contact center staff for additional information.

> ***Unscheduled Record Series*****:** Consistent with 36 CFR 1228.154(c)(vii), records centers can accept unscheduled record series that have a SF 115, *Request for Records Disposition Authority*, registered and pending with NARA’s Life Cycle Management Division (NWML). Customer agencies should cite the pending job number and the date it was submitted to NARA and the series item that corresponds to the transfers. The customer should type “pending” in block 6h. Attach a copy of the pending job number to the SF 135.

Item 6: (i) Follow the instructions in the record disposition schedule to compute the disposition date. Because disposal is accomplished in quarterly cycles (i.e., January, April, July and October), advance the date to the beginning of the next calendar quarter to obtain the actual date of disposal. Permanent records are offered to NARA on an annual basis; no month is shown in the disposition date field. Place “P” after the offer year.

Items 4, 6j thru m are completed by Records Center staff.

Attachment 3

AIR FORCE RECORDS STORAGE FACILITIES (STATUTORY AUTHORITY: 36 CFR, PART 1228, RECORDS CENTER FACILITY STANDARDS)

A3.1. Construction.

A3.1.1. The building shall be of sound construction and shall be well-maintained, with a roof that is free of leaks.

A3.1.2. If the facility is located off-site (away from the building where the records are ordinarily maintained and used), and if part of the structure is used for other purposes, a fire wall shall separate the records area from any area that might present a hazard to the records.

A3.2. Environment.

A3.2.1. It shall be kept clean to avoid accumulations of dust and dirt.

A3.2.2. If the facility is not climate-controlled, the records storage area shall be well-ventilated and shall not be subject to rapid and extreme fluctuations of temperature and humidity (more than 40° or 40% within 24 hours).

A3.2.3. It shall be free of vermin and shall have a pest control program to guard against insects and rodents.

A3.2.4. It shall be well-lighted, but records shall not be exposed to direct sunlight.

A3.2.5. Records shall be protected from the threat of damage caused by smoking, eating and drinking.

A3.2.6. Records shall be placed a minimum of three inches from the floor on sturdy, well-supported shelving units or file cabinets. Unbound inactive records shall be stored in file cabinets or in closed containers placed on shelves.

A3.2.7. Records shall not be placed in areas subject to flooding or excessive moisture. Nor shall they be placed in areas with exposed water or steam pipes subject to leaking or in areas that are adjacent to furnaces or boilers unless separated by a four-hour fire wall.

A3.3. Security/Protection.

A3.3.1. The facility shall not be located in any area where the risk of natural and man-made disasters pose a significant threat to the facility and its contents. It shall be located sufficiently separate from external hazards to ensure a high degree of safety from such occurrences as fire and flood.

A3.3.2. It shall be located within the coverage area of a fire station and near a regularly patrolled police route.

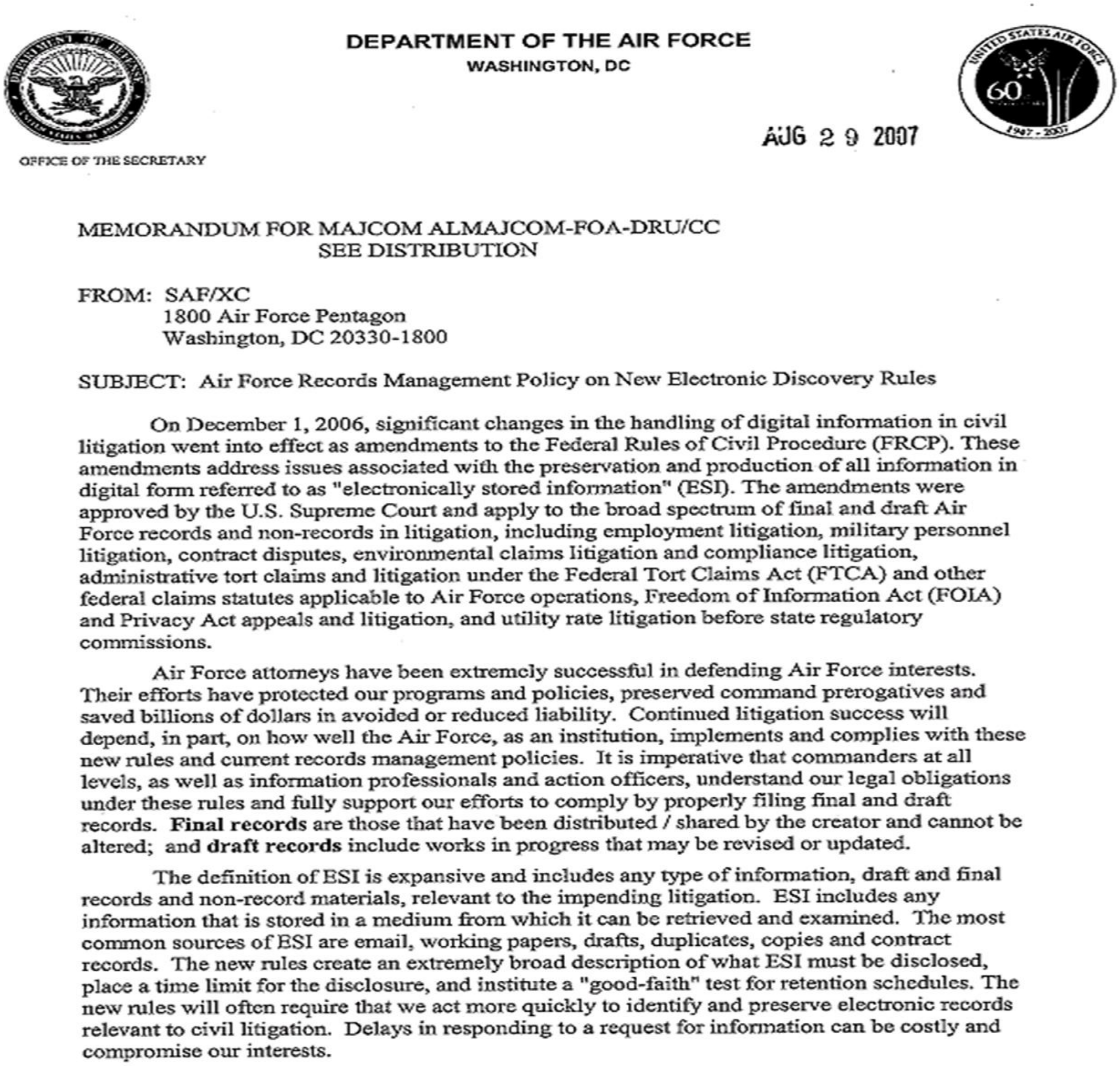
A3.3.3. It shall be secured at all times and, in the case of an off-site storage facility, if it is not normally open to the public, access shall be restricted to authorized persons.

A3.3.4. It shall have an operational fire detection mechanism. In an off-site, unstaffed facility, the fire detection mechanism shall have an external audible alarm.

A3.3.5. It shall contain an adequate supply (one or more) of well-distributed portable fire extinguishers suitable for extinguishing fires in all record materials stored.

Attachment 4

SAF/XC POLICY MEMO AR-M350_20070829 ON E-DISCOVERY RULES



DEPARTMENT OF THE AIR FORCE
WASHINGTON, DC

OFFICE OF THE SECRETARY

AUG 29 2007

MEMORANDUM FOR MAJCOM ALMAJCOM-FOA-DRU/CC
SEE DISTRIBUTION

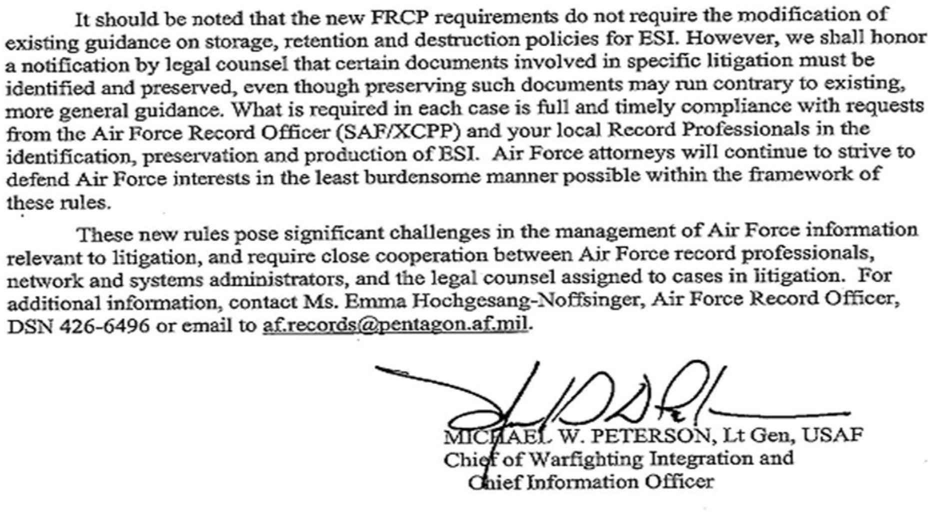
FROM: SAF/XC
1800 Air Force Pentagon
Washington, DC 20330-1800

SUBJECT: Air Force Records Management Policy on New Electronic Discovery Rules

On December 1, 2006, significant changes in the handling of digital information in civil litigation went into effect as amendments to the Federal Rules of Civil Procedure (FRCP). These amendments address issues associated with the preservation and production of all information in digital form referred to as "electronically stored information" (ESI). The amendments were approved by the U.S. Supreme Court and apply to the broad spectrum of final and draft Air Force records and non-records in litigation, including employment litigation, military personnel litigation, contract disputes, environmental claims litigation and compliance litigation, administrative tort claims and litigation under the Federal Tort Claims Act (FTCA) and other federal claims statutes applicable to Air Force operations, Freedom of Information Act (FOIA) and Privacy Act appeals and litigation, and utility rate litigation before state regulatory commissions.

Air Force attorneys have been extremely successful in defending Air Force interests. Their efforts have protected our programs and policies, preserved command prerogatives and saved billions of dollars in avoided or reduced liability. Continued litigation success will depend, in part, on how well the Air Force, as an institution, implements and complies with these new rules and current records management policies. It is imperative that commanders at all levels, as well as information professionals and action officers, understand our legal obligations under these rules and fully support our efforts to comply by properly filing final and draft records. **Final records** are those that have been distributed / shared by the creator and cannot be altered; and **draft records** include works in progress that may be revised or updated.

The definition of ESI is expansive and includes any type of information, draft and final records and non-record materials, relevant to the impending litigation. ESI includes any information that is stored in a medium from which it can be retrieved and examined. The most common sources of ESI are email, working papers, drafts, duplicates, copies and contract records. The new rules create an extremely broad description of what ESI must be disclosed, place a time limit for the disclosure, and institute a "good-faith" test for retention schedules. The new rules will often require that we act more quickly to identify and preserve electronic records relevant to civil litigation. Delays in responding to a request for information can be costly and compromise our interests.



It should be noted that the new FRCP requirements do not require the modification of existing guidance on storage, retention and destruction policies for ESI. However, we shall honor a notification by legal counsel that certain documents involved in specific litigation must be identified and preserved, even though preserving such documents may run contrary to existing, more general guidance. What is required in each case is full and timely compliance with requests from the Air Force Record Officer (SAF/XCPP) and your local Record Professionals in the identification, preservation and production of ESI. Air Force attorneys will continue to strive to defend Air Force interests in the least burdensome manner possible within the framework of these rules.

These new rules pose significant challenges in the management of Air Force information relevant to litigation, and require close cooperation between Air Force record professionals, network and systems administrators, and the legal counsel assigned to cases in litigation. For additional information, contact Ms. Emma Hochgesang-Noffsinger, Air Force Record Officer, DSN 426-6496 or email to af.records@pentagon.af.mil.

MICHAEL W. PETERSON, Lt Gen, USAF
Chief of Warfighting Integration and
Chief Information Officer

Attachment 5

VITAL RECORDS PLAN

A5.1. Each unit should develop a vital records plan. The plan is a description of records that are vital to continue operations or for the protection of legal and financial rights. The plan also includes specific measures for the appropriate storage and periodic cycling (updating) of copies of those records.

A5.2. The description of the vital records is based on identification and inventorying. Units may take the following steps to identify and inventory vital records:

A5.2.1. Consultation with the official responsible for emergency coordination.

A5.2.2. Review base statutory and regulatory responsibilities and existing emergency plans for insights into the functions and records that may be included in the vital records inventory.

A5.2.3. Review of documentation created for the contingency planning and risk assessment phase of emergency preparedness. The offices performing those functions would be an obvious focus of an inventory.

A5.2.4. Review of current files plans of offices that are responsible for performing critical functions or may be responsible for preserving rights.

A5.2.5. Review of the AFRIMS RDS to determine which records series potentially qualify as vital.

A5.3. Organizations must exercise caution in designating records as vital and in conducting the vital records inventory. A review of the available literature suggests that from 1 to 7 percent of an organization’s records may be vital records. Only those records series or electronic information systems (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be so designated. CORs make judius decisions identifying the function’s vital records and approving the vital record inventory.

A5.4. The inventory of vital records should include:

A5.4.1. The name of the office responsible for the records series or electronic information system containing vital information.

A5.4.2. The title of each records series or information system containing vital information.

A5.4.3. Indication of whether the series or system is an emergency operating vital record or a vital record relating to rights.

A5.4.4. The medium on which the record is recorded.

A5.4.5. The physical location for offsite storage of copies of the records series or system.

A5.4.6. The frequency with which the records are to be cycled (updated).

A5.4.7. A licensed copy of the software to enable software-dependent vital records to be used

Attachment 6

RECORD SEARCH PROCEDURES

A6.1. The Air Force Record Officer will direct MAJCOM, FOA and DRU Records Managers to conduct non-FOIA record searches upon receipt of a written request to perform a departmental record search. Command and Agency Record Managers in turn task Wing/Base and Unit Record Professionals. Wing/Base and Unit Records Professionals in turn disseminate task to the Wing/Base and Number AF Commanders and each 2-digit office of record at the installation under their jurisdiction.

A6.2. The tasking may be further disseminated to each Functional Area Records Managers (FARM), and Record Technician/Records Custodian. The Chief Office of Record (COR) monitors the search and ensures an exhaustive, system-wide search of all active and inactive ESI to include final and draft records, physical and electronic, relating to the search criteria have been reviewed.

A6.3. Search criteria is based upon the request. Requesters will provide the categories that drive the search criteria. The following is an example of the criteria that could be used: Records search for documents pertaining to subject (contract number, weapon system, etc). A record search may include broad categories such as personnel, finance, training, schooling, and unit records, daily unit strength reports, or be very narrow and focus on a skill, qualification, or security clearance.

A6.4. Typical instructions to each record professional:

A6.4.1. Conduct a thorough record search for documents including but not limited to the following categories: personnel, finance, training, schooling, drill/attendance, unit records, daily unit strength reports, skills, qualifications, medical, equipment accountability, security clearance, and billeting.

A6.4.2. Prepare an index identifying each document found by date. author, classification, record category, media and location.

A6.4.3. Prepare a list of the all individuals, grade, duty location, email address, telephone numbers (commercial and DSN), and the estimated manhours (authorizations, rank or grade, and hours spent) to conduct each search. This information is submitted whether or not responsive documents are found.

A6.4.4. Segregate and mark documents containing Sensitive Compartmented Information and information subject to Special Access Program restrictions. Identify and describe any document withheld from production, even temporarily, for any reason. Provide basis and justification for withholding the document to respond to any challenge as soon as possible but by the no later than (NLT) date supplied in search request.

A6.4.5. If you do not have possession, custody or control of any requested documents but have information concerning the location of such documents, provide that information as soon as possible but NLT date for search. Often a day earlier than the date in search request to give legal staff reasonable time to respond to the information.

A6.4.6. Record professionals will up-channel search results to include list of searchers, time used for the search, documents found, and or a negative. Search results should flow from RC to FARM, from FARM to BRM, from BRM to CRM, from CRM and ARM to AFRO.

Individuals tasked to search must respond to the request. In other words, negatives are required and will be used to validate to the Courts that the search was conducted.

A6.5. CRMs and ARMs will contact the AF Records Officer to arrange transfer of findings if the task directs the documents are to be surrendered. Electronic documents should remain digital and paper should be duplicated with copies held by record professional and originals send forward. CRMs and ARMs will provide one response to the AFRO. Negative replies are required to provide evidence that each location has conducted a search. Time given to conduct the search will vary based on the Court Order, search criteria, urgency, or area of impact.

A6.6. AFRO will compile a list of responses (inventory of documents supplied) and list them by MAJCOM, FOA, and DRU, and OPR responding, phone number, etc.)